Formal Functions in Menuets by Mozart, Part 2: Sonatas and Chamber Music

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Abstract:

Continuation of a study of formal functions (after Caplin) in named menuets by Mozart. A table of data and comprehensive musical examples cover the trios, string quartets, string quintets, quartets and quintets with other instrumentation, piano sonatas, and violin sonatas.

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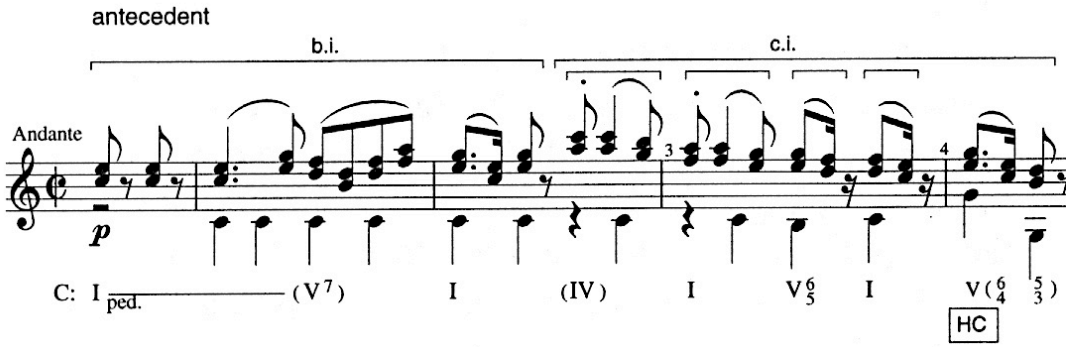
Introduction

The table in Part 1 below covers first-strain themes in solo, duo, and chamber works. Only movements labeled with one or another variant of "menuet" are included, though it is obvious that the menuet style is the basis of quite a few movements without the title.[1] For more information on goals, method, and some terminology, see the introduction to my first essay on this topic: *Formal Functions in Menuets by Mozart, Part 1: Orchestral Works and Independent Sets*.

The score sources for the examples are eclectic; almost all were downloaded from IMSLP. Where keyboard versions of chamber works were available, I used them; these are primarily nineteenth-century French editions of the later string quartets and quintets. I apologize for the heterogeneous character of the examples—as I just noted above, I used the sources I could (figuratively) lay hands on easily. None will look anything like so elegant as those in William Caplin's two books, as for instance this, the first part of his Example 1.3 (Mozart, K. 525, III):[2]



[1] I use "menuet," incidentally, rather than Italian "minuetto" or "menuetto"—regardless of the version Mozart applied—out of respect for the dance's country of origin. Throughout the eighteenth century, the menuet was understood to be a French dance, no matter the new contexts into which it might be inserted.

[2] Text in these two paragraphs is repeated from the introduction to my first essay. The example is from William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. Oxford University Press, 1998. Caplin's more recent book is *Analyzing Classical Form: An Approach for the Classroom*. Oxford University Press, 2014.

Nevertheless, my goal remains the same: to provide an adequate reproduction of the musical contents so that a fair judgment can be made about formal functions and supporting harmony. Unlike Caplin, however, I do rely on the reader to supply the details: I normally give only the theme label (period, sentence, 14-bar galant theme, etc.).

The principal results from the work with Mozart's menuets are:

(1) A firm discrediting of an older historical narrative according to which composers in the Classical period (galant era) used period themes but, beginning with Beethoven, turned toward sentences instead. As I observed in a note in the *Formal Functions, Part 1* essay, the gavotte almost universally used period themes; along with a simple (danceable) form of the gigue, it was the basis of the contredanse and a predcitable form that was very important to music-making of all kinds throughout the eighteenth century. On the other hand, the menuet seems never to have settled on any one design.

(2) The perhaps surprising prevalence of one of the designs William Caplin calls "hybrids": the antecedent + continuation model. This is in fact so important in the menuet repertoire, especially (but by no means only) after 1750, that I have named it the "galant theme."

(3) The relatively small but still significant number of presentation + consequent themes. Caplin rejects these as too rare to worry about, but it is clear that Mozart wrote them, despite their obvious disadvantage that the basic idea appears three times in a row. Informally I refer to this as the "6 + 2" model.

(4) The inability of the available theme categories to account for some features of an 8-bar theme's second phrase. Specifically, "continuation" is too broad to account for the difference between "development" (as in fragmentation or sequence) and "continuing melody" (as in a new basic idea). The importance to the galant aesthetic of contrast combined with melodic continuity and melodic variety is amply demonstrated by the number of times Mozart writes a new two-bar idea in bars 5-6 of an 8-bar theme—and, radically, the instances in which he writes *four* distinct two-bar ideas, even emphasizing melodic qualities in the formula cadence region of bars 7-8.

(5) The remarkable variety in the menuets. Mozart wrote many of these dances, early to late in his life, for instrumentation from solo keyboard to large orchestra, for clearly defined social dance purposes to large concert pieces. Indeed, by restricting myself to pieces he titled as menuets, I have only scratched the surface of his creative exploitation of this dance/topic/style. It should

therefore not be surprising that every possible way of combining two-bar units appears somewhere in this repertory, as do a variety of ways to expand the basic 8-bar unit to 10, 12, 14, and larger themes and form sections.

Here are running totals for the orchestral pieces, independent sets, chamber music, and sonatas (from the table in Part 1 below and from the *Formal Functions, Part 1* essay).

From these it can be seen, to (1) above, that the period does have the largest number of entries, but *just barely*: 25% of the total, where the sentence has 21% and the galant theme has 23%. To (2) above, these percentages certainly confirm that the galant theme is on par with the period and sentence. To (3), the presentation + consequent theme has 8% of the total—not large, but not negligible, either. Point (4) can't be addressed by the table, but (5) is confirmed, as no single type, small or large, predominates: Mozart seems to have "tried everything."

K #	**Type**	**#**	**Year**	**Theme in the first strain**						
				Period	**Sentence**	**Galant**	**Pres-cons**	**10, 12, or 14 -bar galant**	**10, 12, or 14-bar sentence**	**16 bar theme**
Through K. 174 (chamber music; sonatas)				4	8	7	3	5	6	3
Through K. 185 (orchestral; sets)				21	32	34	17	11	6	0
Through K. 185 (all)				***25***	***40***	***41***	***20***	***16***	***12***	***3***
Totals; n = 324* (orchestral; sets)				86	74	75	30	27	21	11
Totals; n = 67** (chamber music; sonatas)				11	8	15	3	11	9	10
Totals; n = 391*** (all)				***97***	***82***	***90***	***33***	***38***	***30***	***21***

* The dances not included in these tallies (see the table legend) add 16 more, or n = 340 for the entire data set.

** The dances not included in these tallies (see the table legend) add 19 more, or n = 86 for the entire data set.

*** The dances not included in these tallies (see the table legend) add 35 more, or n = 426 for the entire data set.

Part 1: Table of Themes in the First Strains of Chamber Music and Solo and Duo Sonatas

Legend:

Type: only compositions with named menuets are included. Compositions now considered to be doubtful or spurious are not included.
Period, sentence, galant, and pres-cons are 8-bar themes.
Galant = Caplin's antecedent + continuation.
Pres-cons = presentation + consequent.
10, 12, or 14-bar galant = Caplin's antecedent + continuation enlarged with any arrangement of internal elements (e.g. 4 + 6, 6 + 6, 4 + 4 + 4). Periods of these lengths are also included and named in this column, but they do not figure in the tallies for the running totals.
10, 12, or 14-bar sentence = sentence enlarged with any arrangement of internal elements (e.g. 4 + 6, 6 + 6, 4 + 4 + 4). Presentation + consequent themes of these lengths are also included and named in this column; they do not figure in the tallies for the running totals.
16-bar theme = 16-bar periods and sentences without distinction. Themes or sections of greater length (17+ bars) are included and named in this column; they do not figure in the tallies for the running totals.

Running totals are given in rows after K. 174 (where n = 36) and of course at the end, where n = 67. The menuets not included in these tallies (see above) add 19 more, so that n = 86 for the entire data set.

K #	Type	Year	Theme in the first strain						
			Period	Sentence	Galant	Pres-cons	10, 12, or 14 -bar galant	10, 12, or 14-bar sentence	16-bar theme
7	Violin Sonata in D	1763-64		1			1		
8	Violin Sonata in Bb	1764			2				
9	Violin Sonata in G	1764		1					1
10	Violin Sonata in Bb	1764			1		1		
11	Violin Sonata in G	1764							20-bar theme
13	Violin Sonata in F	1764				2			

K #	Type	Year	Theme in the first strain						
			Period	Sentence	Galant	Pres-cons	10, 12, or 14 -bar galant	10, 12, or 14-bar sentence	16-bar theme
14	Violin Sonata in C	1764	1	1					
19d	Kybd. Sonata 4 hds in C	1765?			1		1		
29	Violin Sonata in D	1766			1		1		
30	Violin Sonata in F	1766	1						
31	Violin Sonata in Bb	1766			1				
80/73f	String 4t n1 in G	1770-73		1	1				
156/134b	String 4t n3 in G	1772						2	
158	String 4t n5 in F	1772-73							1; 20-bar section
168	String 4t n8 in F	1773	1	1					
169	String 4t n9 in A	1773	1						1
170	String 4t n10 in C	1773		1				1	
171	String 4t n11 in Eb	1773		1				1	
172	String 4t n12 in Bb	1773		1				1	
173	String 4t n13 in D minor	1773					1	1	
174	String 5t n1 in Bb	1773				1			20-bar theme

K #	**Type**	**Year**	**Theme in the first strain**						
			Period	**Sentence**	**Galant**	**Pres-cons**	**10, 12, or 14 -bar galant**	**10, 12, or 14-bar sentence**	**16-bar theme**
Running total through K. 174			**4**	**8**	**7**	**3**	**5**	**6**	**3**
254	Trio in Bb (with piano)	1776			1				
266	Trio in Bb (strings)	1777			1				1
282/189g	Kybd. Sonata n4 in Eb	1775						1	1
298	Flute Quartet	1786?	2						
303/293c	Violin Sonata in C	1778						1	
304/300c	Violin Sonata in E minor	1778							1
331/300i	Kybd. Sonata n11 in A	1783							1; 18-bar theme
377/374e	Violin Sonata in F	1781	1						
387	String 4t n14 in G	1782							25 bars; 40 bars
406/516b	String 5t n2 in C minor	1787?						1	1
421/417b	String 4t n15 in D minor	1783			1		1		
428/421b	String 4t n16 in Eb	1783					1		26 bars
458	String 4t n17 in Bb	1784			1		1		

K #	Type	Year	Theme in the first strain						
			Period	**Sentence**	**Galant**	**Pres-cons**	**10, 12, or 14 -bar galant**	**10, 12, or 14-bar sentence**	**16-bar theme**
464	String 4t n18 in A	1785	1						28 bars
465	String 4t n19 in C	1785							1; 20 bars
498	Trio in Eb (with clarinet)	1786					12-bar period		21 bars
499	String 4t n20 in D	1786	1		1				
515	String 5t n3 in C	1787	1						24 bars
516	String 5t n4 in G minor	1787					1		20 bars
575	String 4t n21 in D	1789					12-bar period		30 bars
581	Clarinet 5t	1789			1		12-bar period		1
589	String 4t n22 in Bb	1790	1						22 bars
590	String 4t n23 in F	1790					10-bar period; 14-bar period		
593	String 5t n5 in D	1790			1		1		
614	String 5t n6 in Eb	1791			1		1		
Totals; n = 67** ----------			**11**	**8**	**15**	**3**	**11**	**9**	**10**

** The dances not included in these tallies (see the table Legend) add 19 more, or n = 86 for the entire data set.

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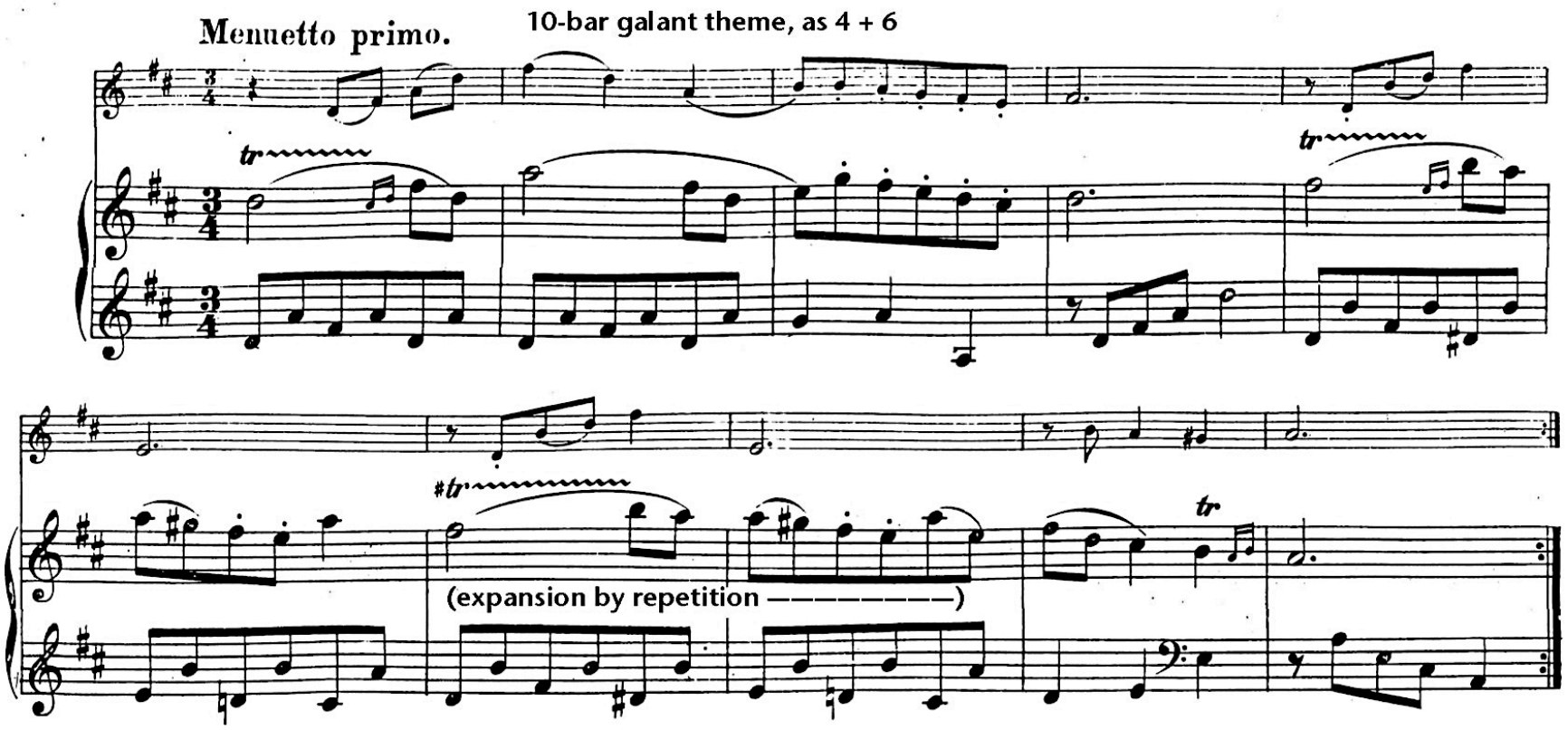
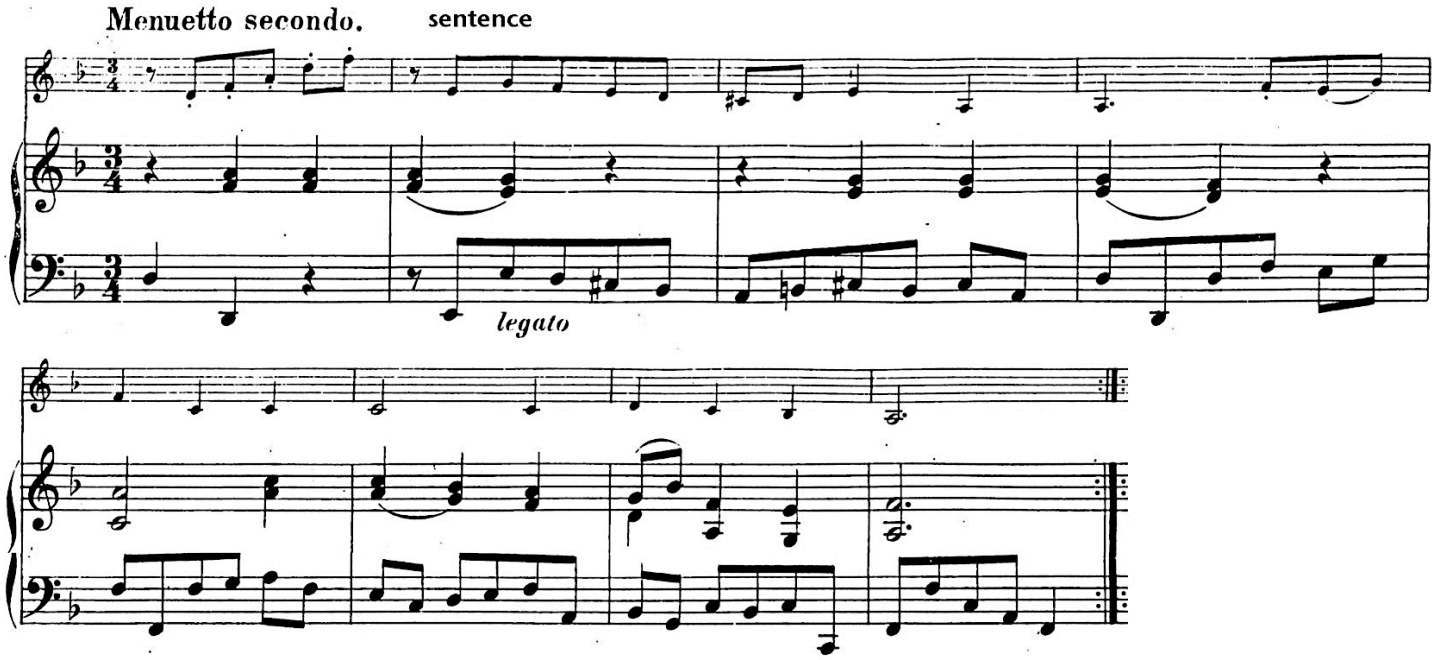
Part 2: Musical examples with annotation

K. 7, Violin Sonata in D (1763-64)

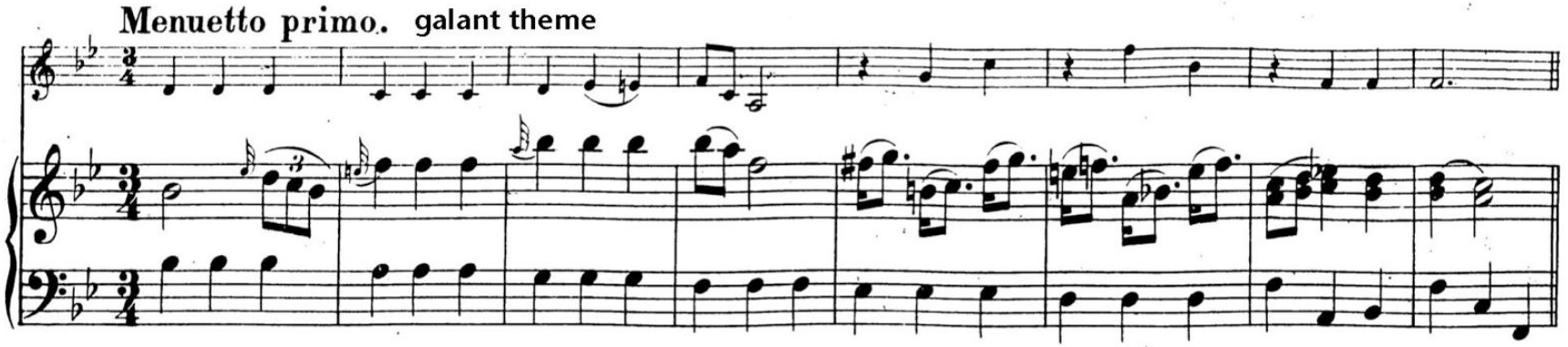
This theme is on the cusp between the galant theme and the period. If one emphasizes the melodic features, then bar 5 could be heard as initiating a consequent phrase. Here is an instance, though, where I think harmony does have a role: the articulation of the PAC in bar 4 combined with the instability of the vi6 in bar 5 sufficiently undermines a recapitulatory quality in the keyboard's trilled half note. The expansion in bars 7-8 is a simple echo figure..

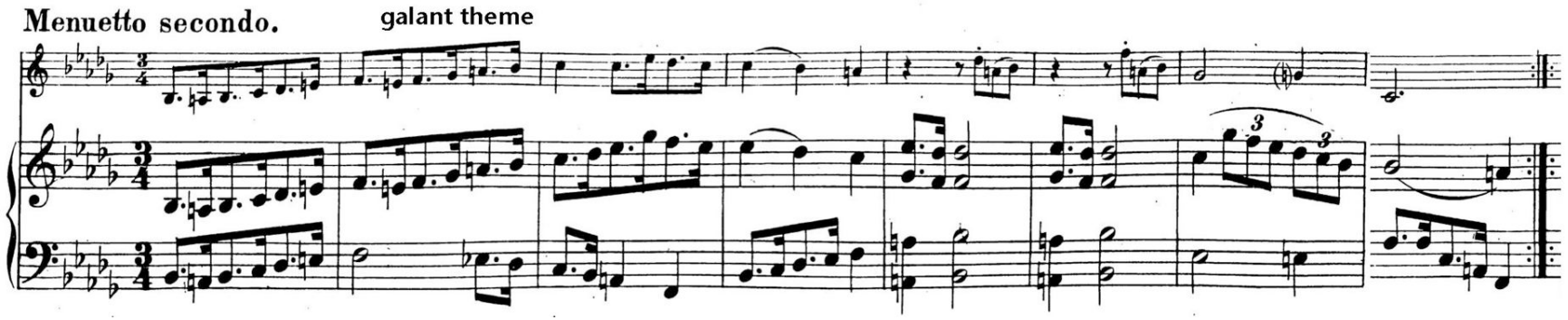




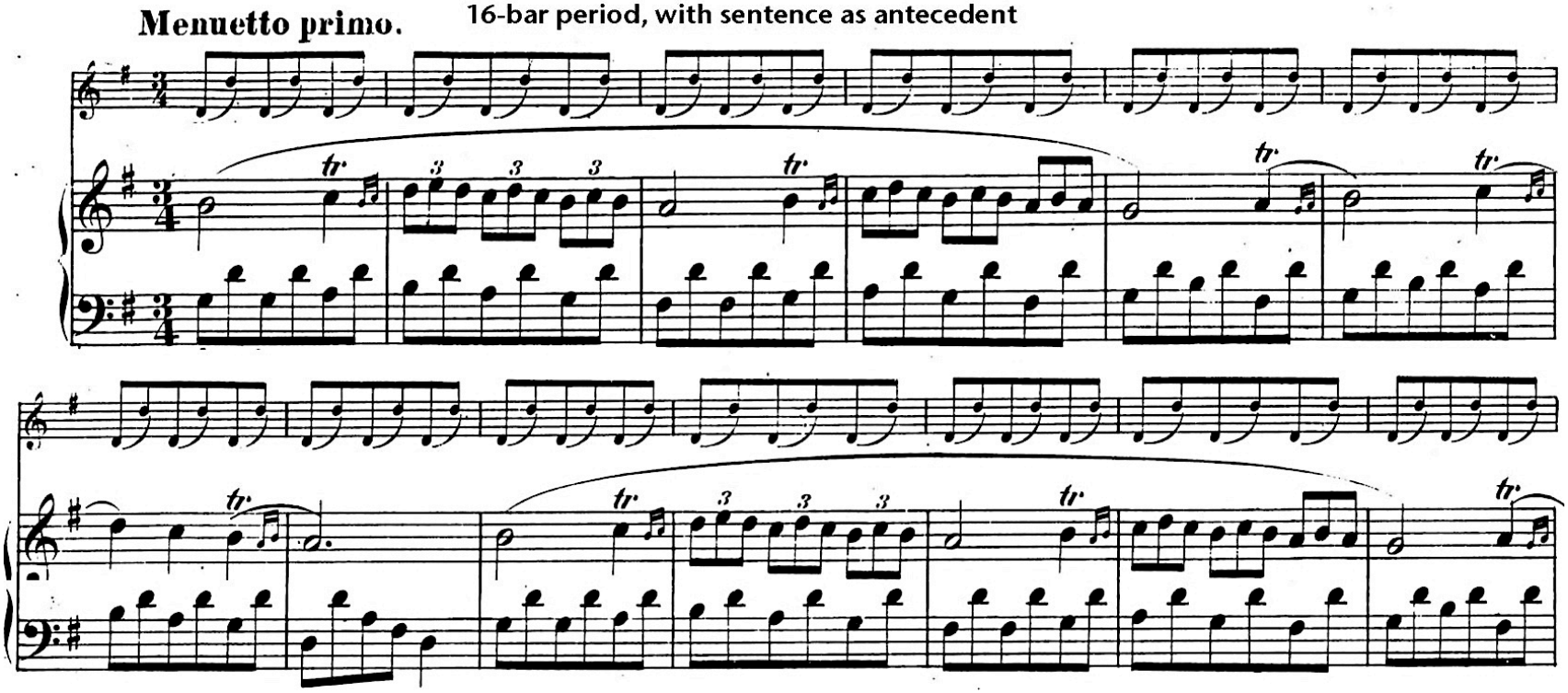
K. 8, Violin Sonata in Bb (1764)

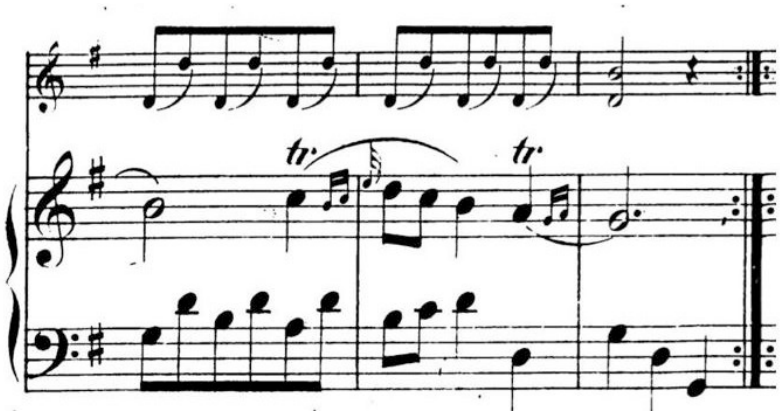
The galant theme is nicely represented by both menuet and trio first strains in this sonata.



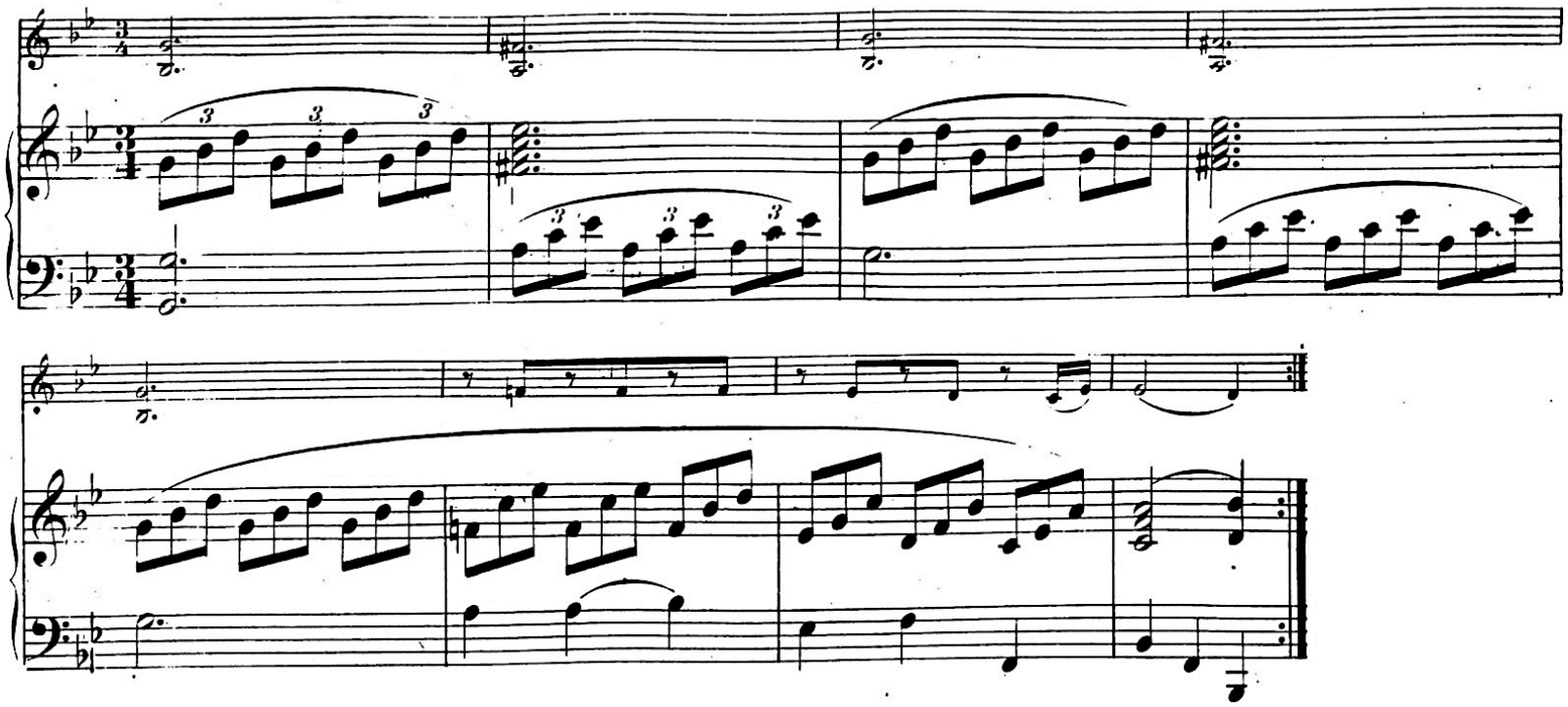


K. 9, Violin Sonata in G (1764)

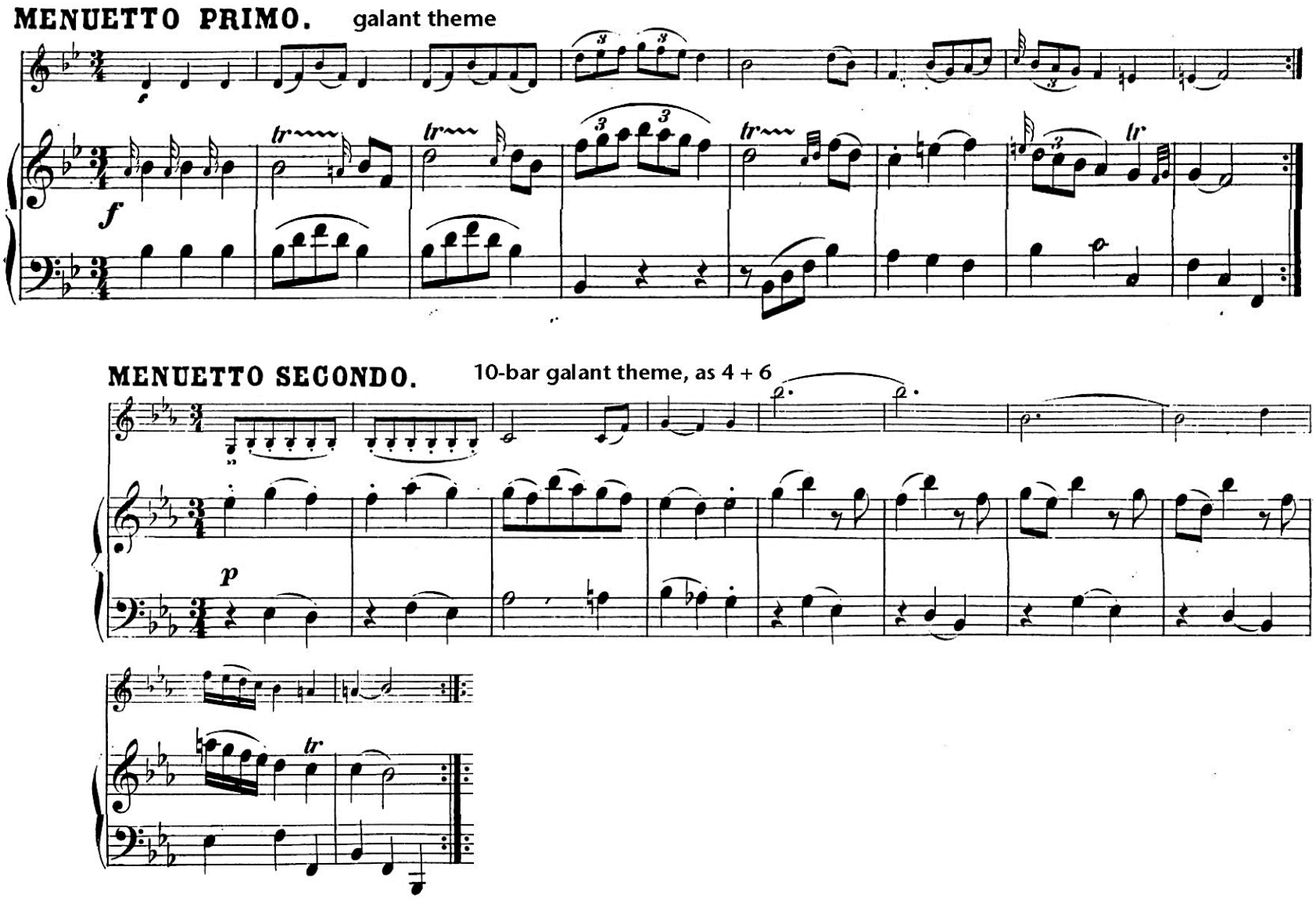




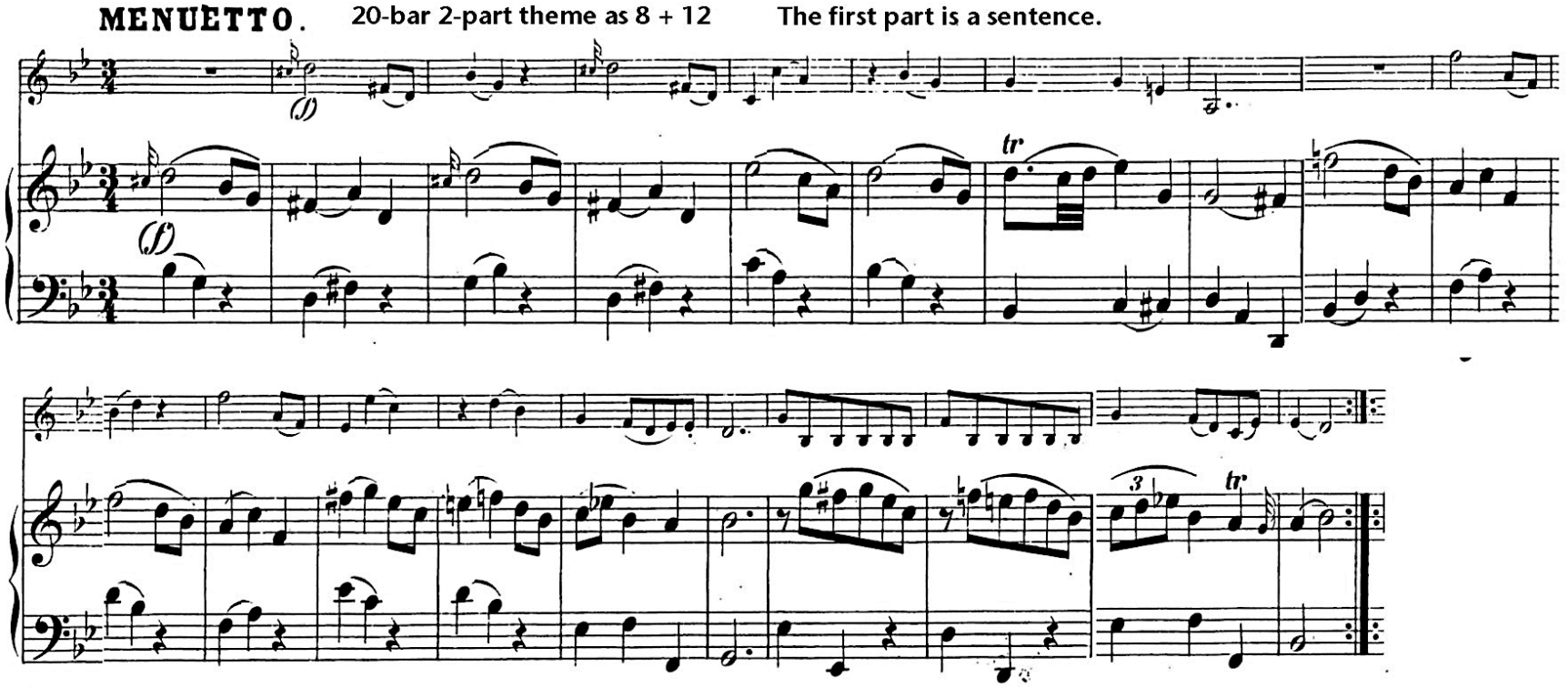
Menuetto secondo. sentence



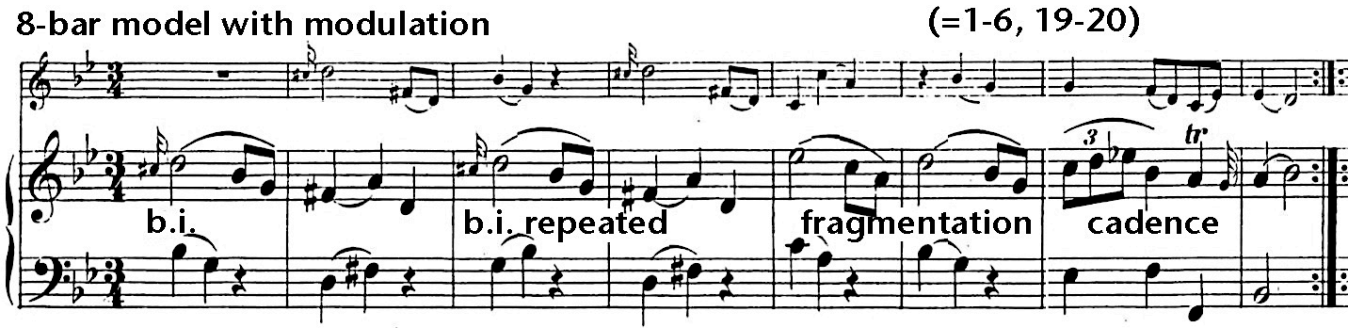
K. 10, Violin Sonata in Bb (1764)



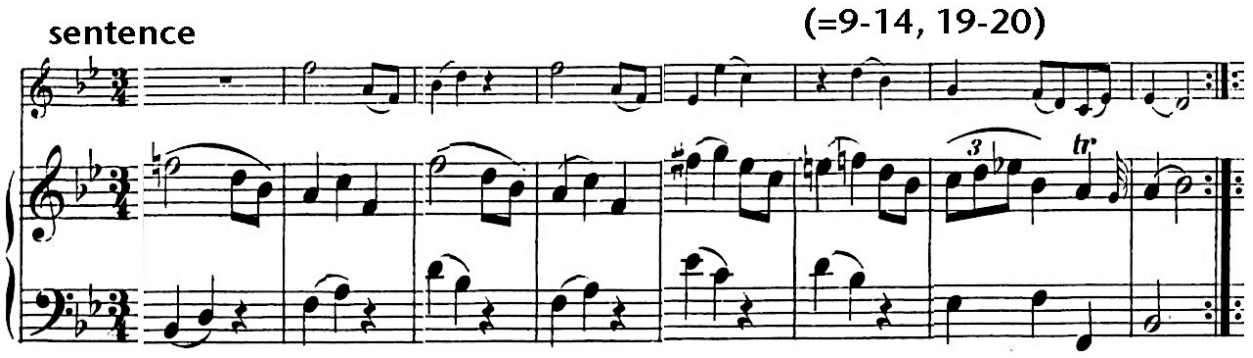
K. 11, Violin Sonata in G (1764)



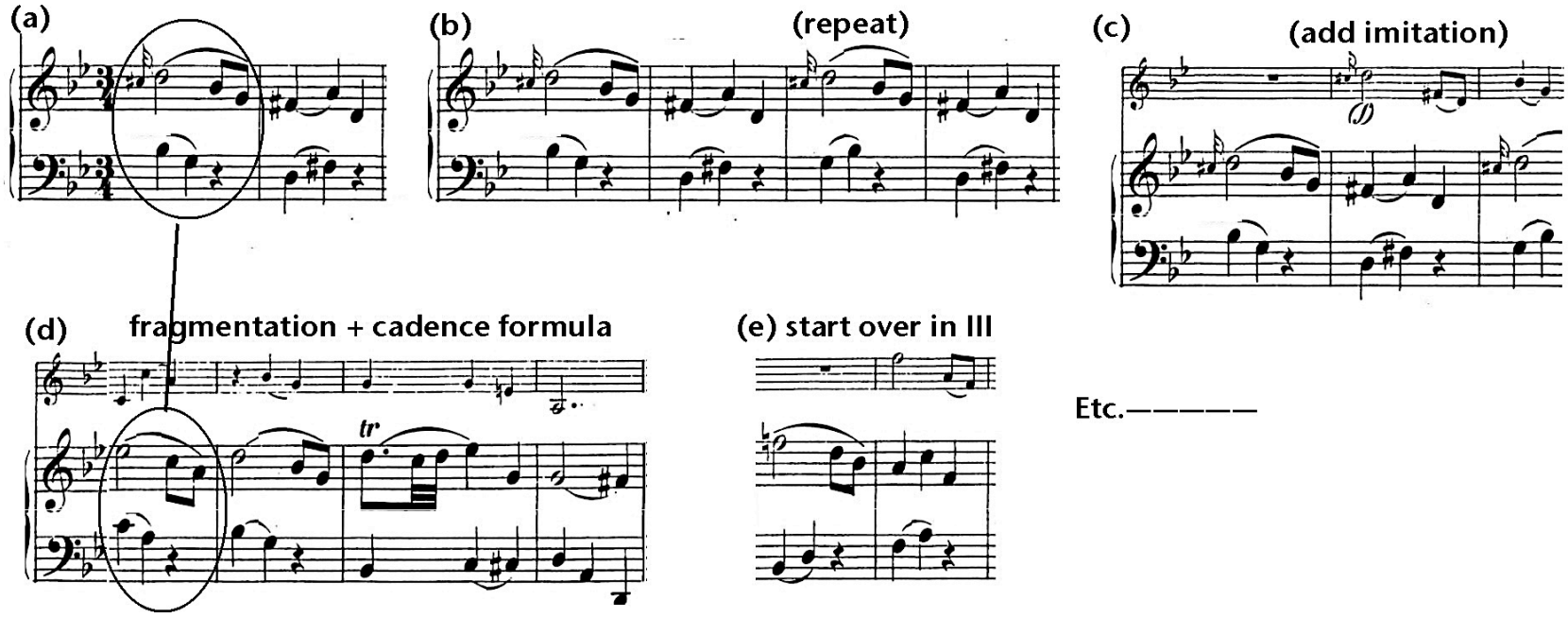
Here is an excellent example of expansion of a small model, as seen in pedagogical texts in the latter half of the eighteenth century (Daube, Riepel, Koch). At the right is a "textbook" sentence that can easily be heard at the base of



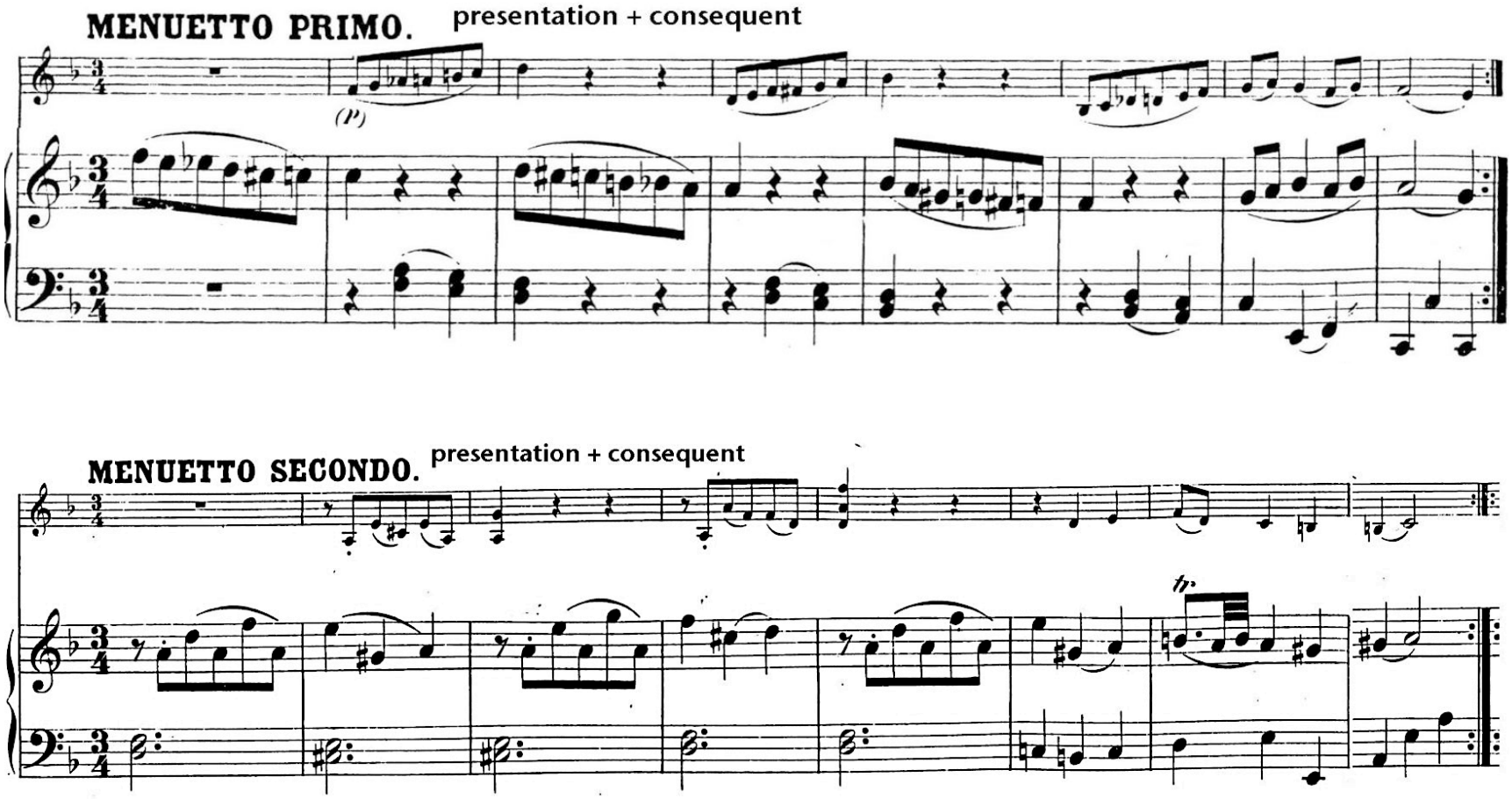
Mozart's 20-bar form section. Note that the 12 bars of the second unit can also be heard as expanding a sentence (see below).



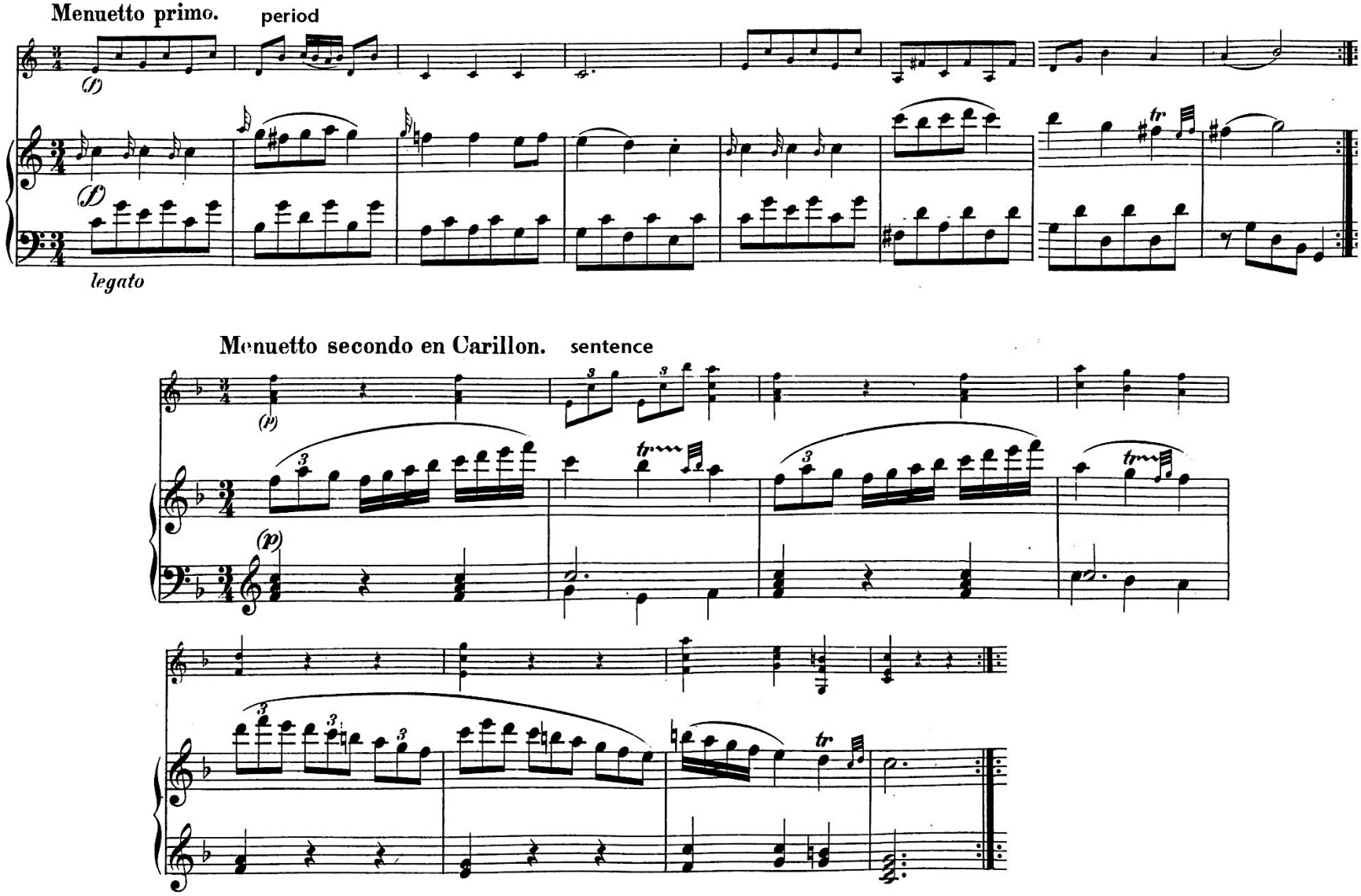
To the figure at the bottom of the page: Begin with the basic idea—at (a). The simplest possible way to continue is to repeat it literally, as at (b). To this beginning gambit Mozart adds a bit of contrapuntal play, as at (c) (not bad for an eight-year old). The resulting presentation phrase is then complemented by a continuation that fragments the head motive—circled notes at (a) and (d)—and adds a formula half cadence. A repeat sign could have been placed here, but Mozart continues the section by starting over with the presentation phrase transposed to III.



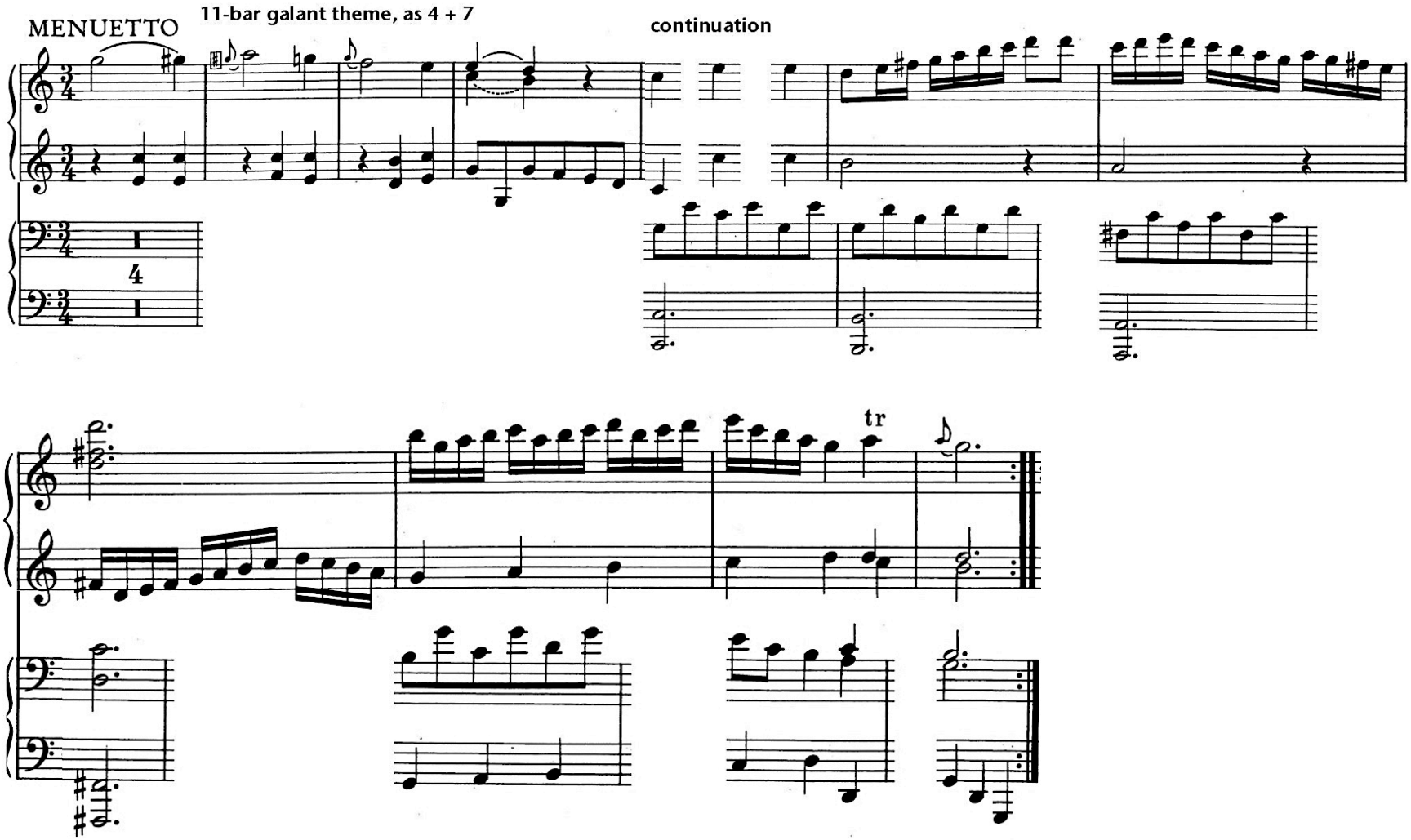
K. 13, Violin Sonata in F (1764)

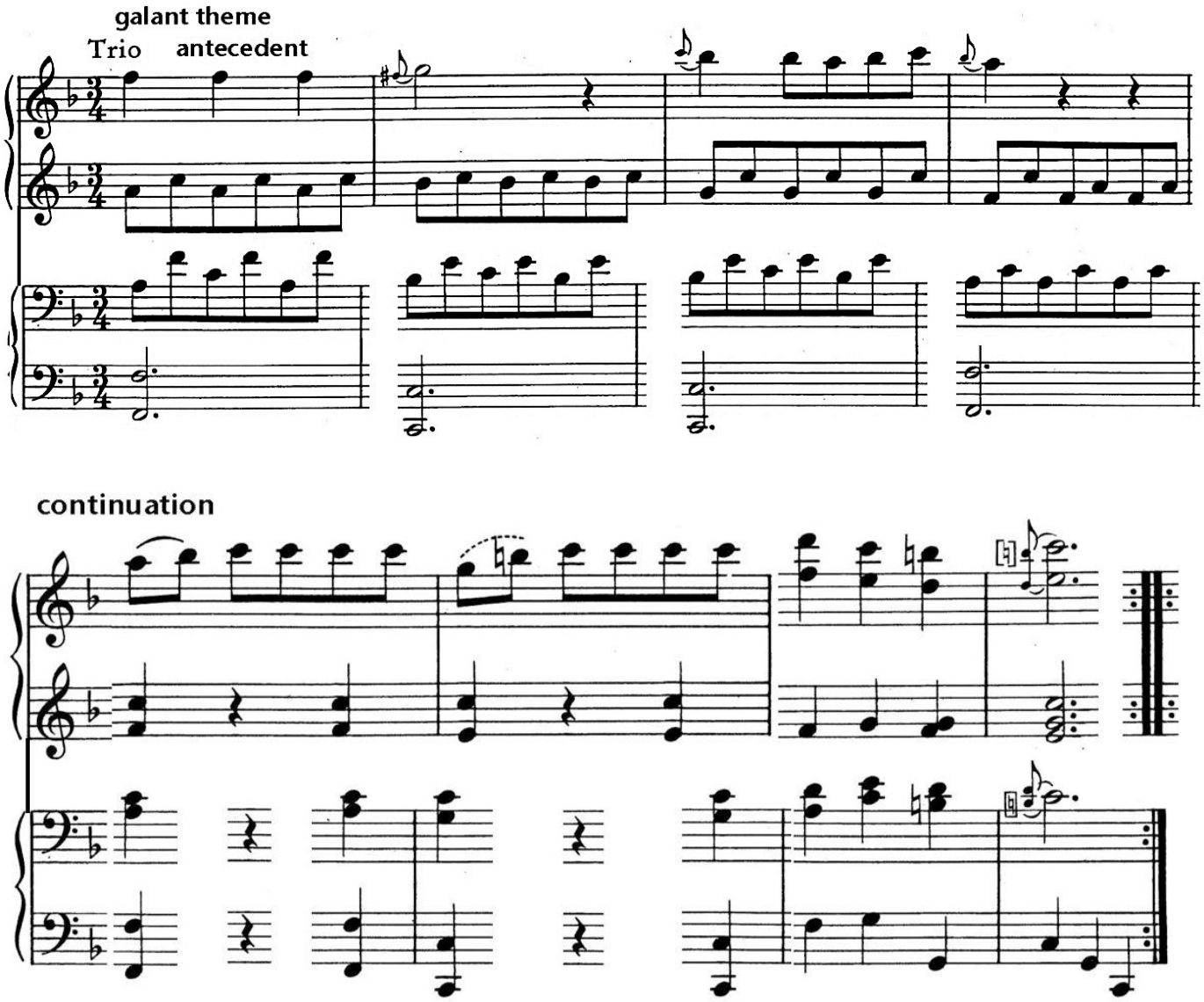


K. 14, Violin Sonata in C (1764)



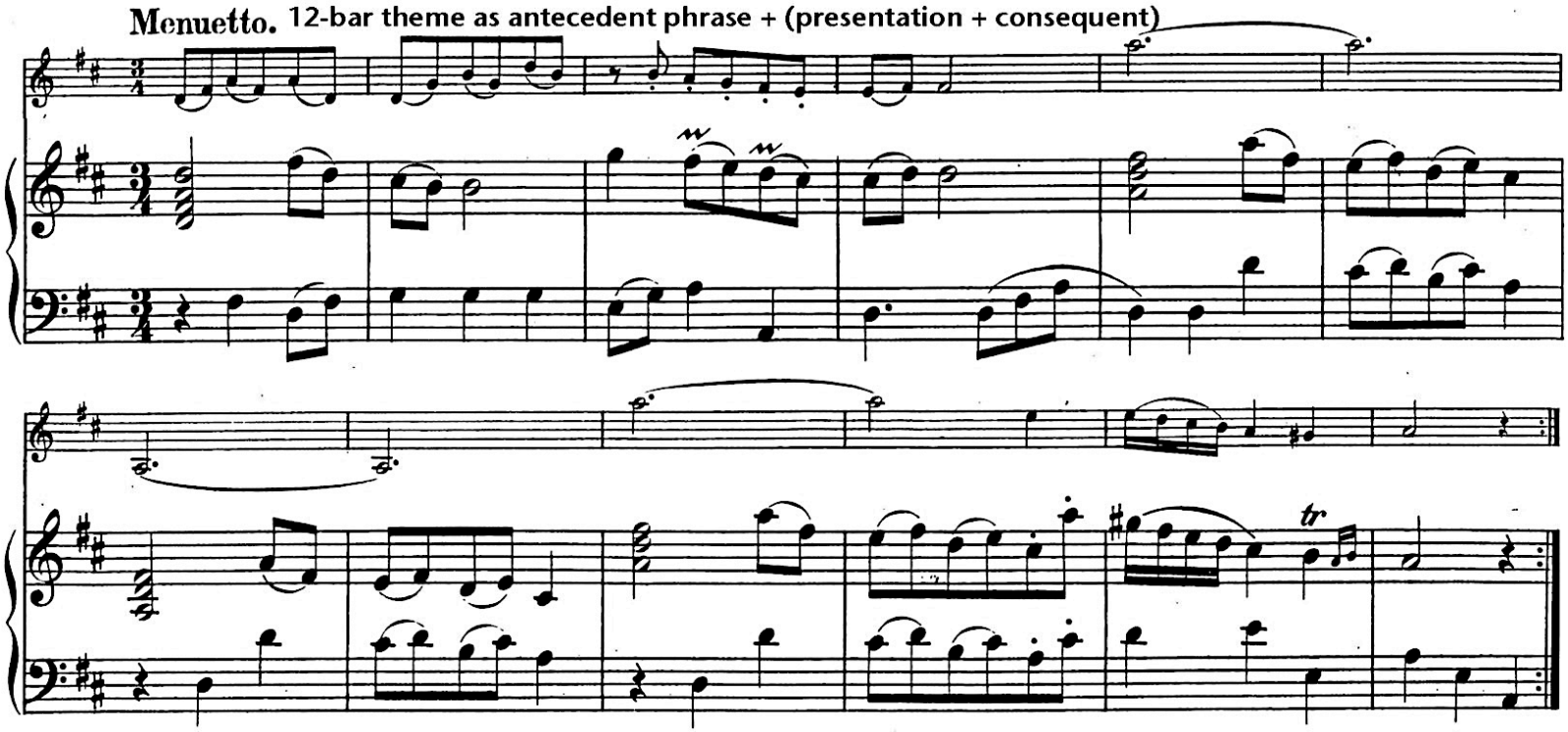
K. 19d, Kybd. Sonata 4 hds in C (1765?)

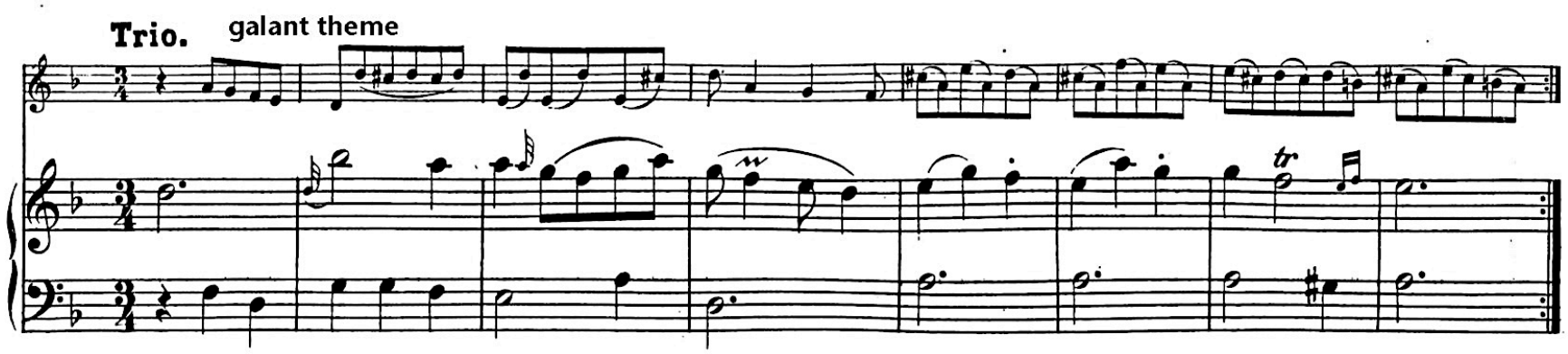



galant theme
Trio antecedent
continuation

K. 29, Violin Sonata in D (1766)

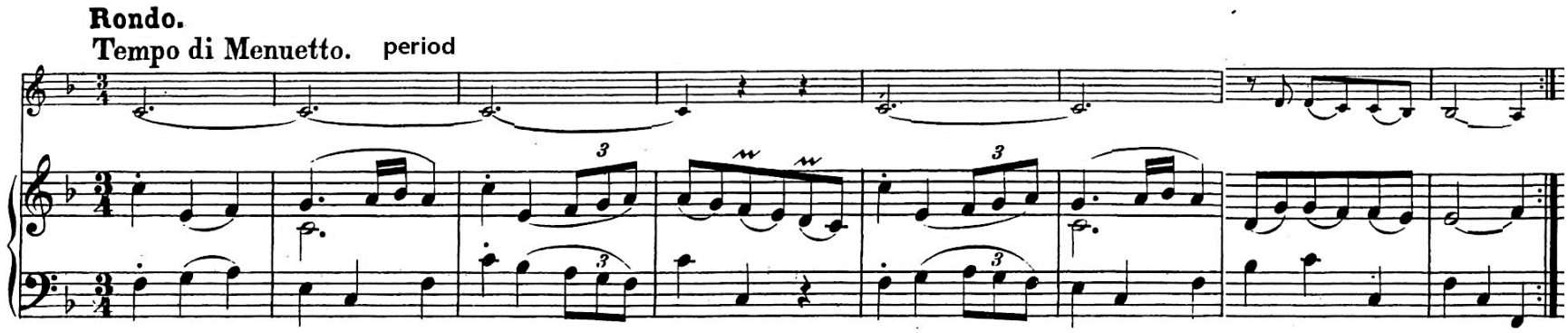
I have analyzed this as antecedent + (presentation + consequent), which could make the whole a 12-bar galant theme, but it might be simpler to read bars 5-10 as the expansion of a single two-bar idea. In that case, the whole could be "reduced" to an 8-bar galant theme, as 1-5, 10-12.



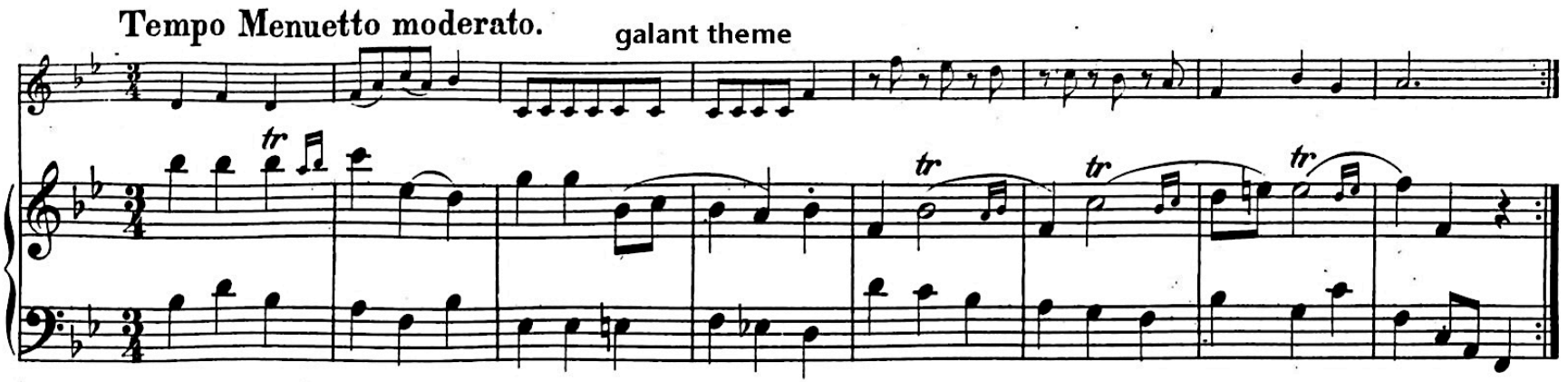


K. 30, Violin Sonata in F (1766)

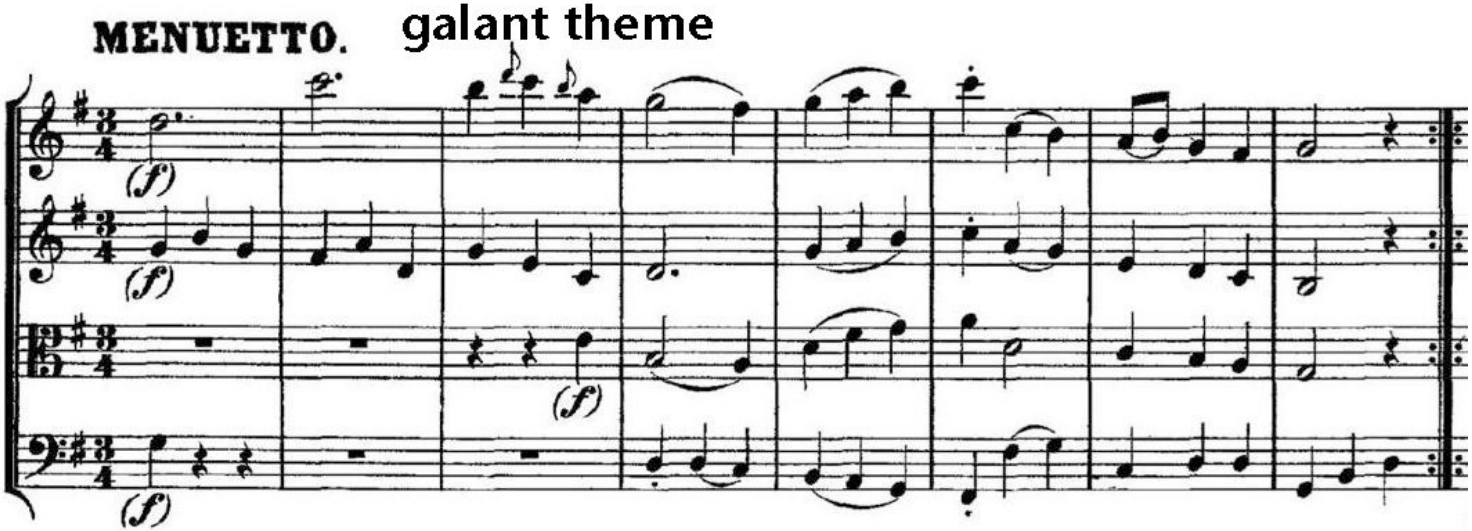
Bars 3-4 might also be heard as an ornamented version of bars 1-2, in which case the theme would be presentation + consequent. I chose the period based on a preference I hold for the effect of small changes within the very restricted confines of small dance movements (and in themes for rondos). In this case, the amount of added ornamentation combined with the firm HC articulation tilts—in my hearing—toward contrast rather than variation.

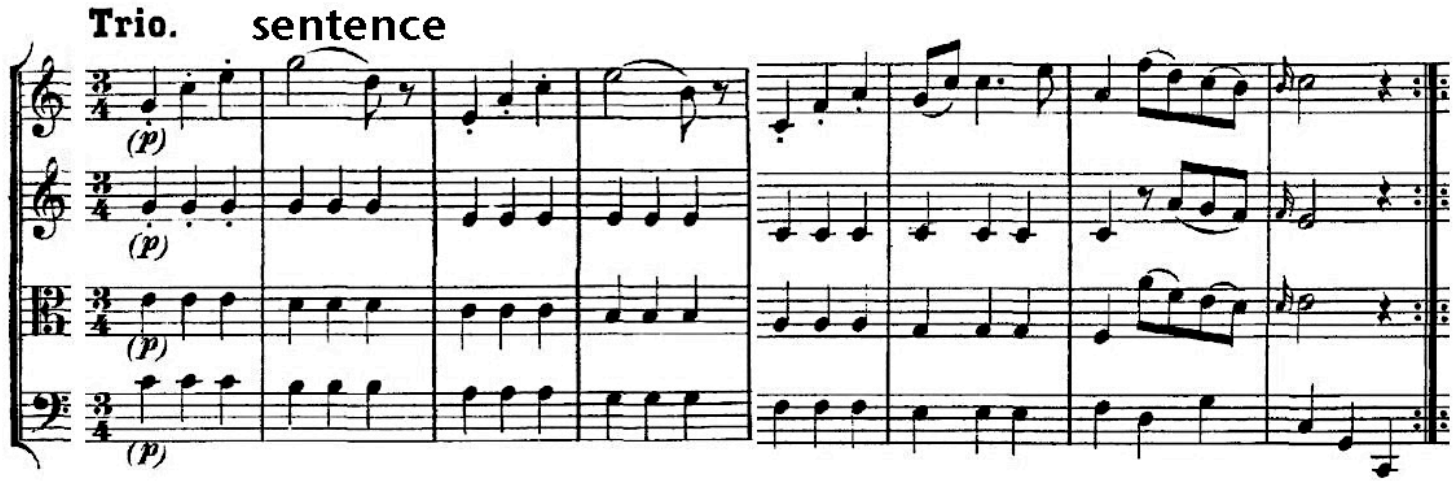


K. 31, Violin Sonata in Bb (1766)

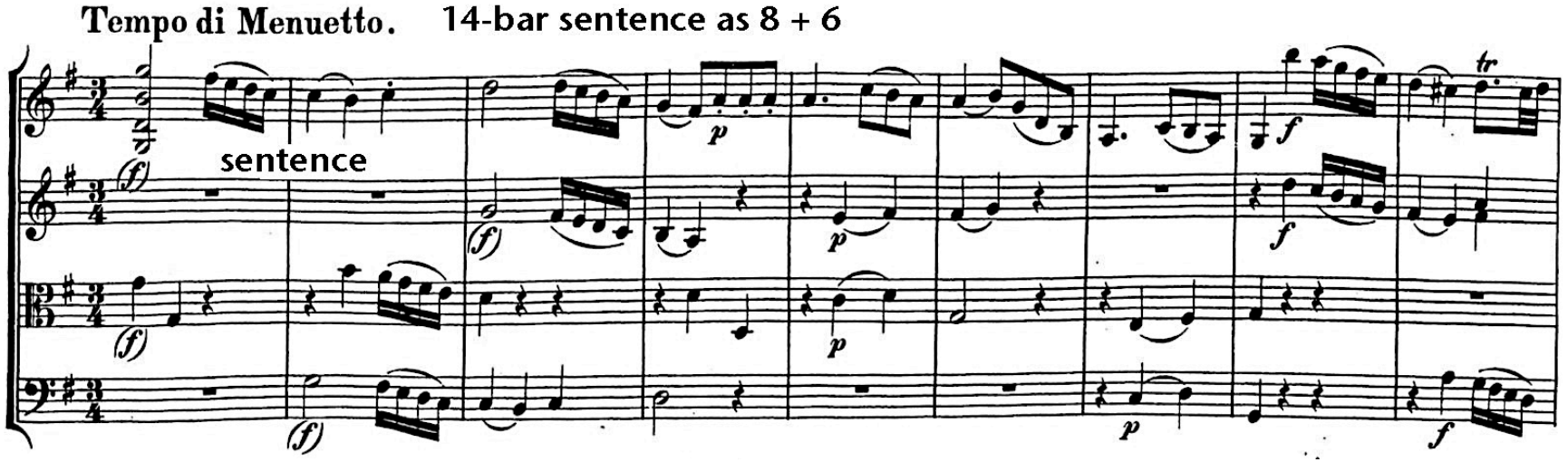


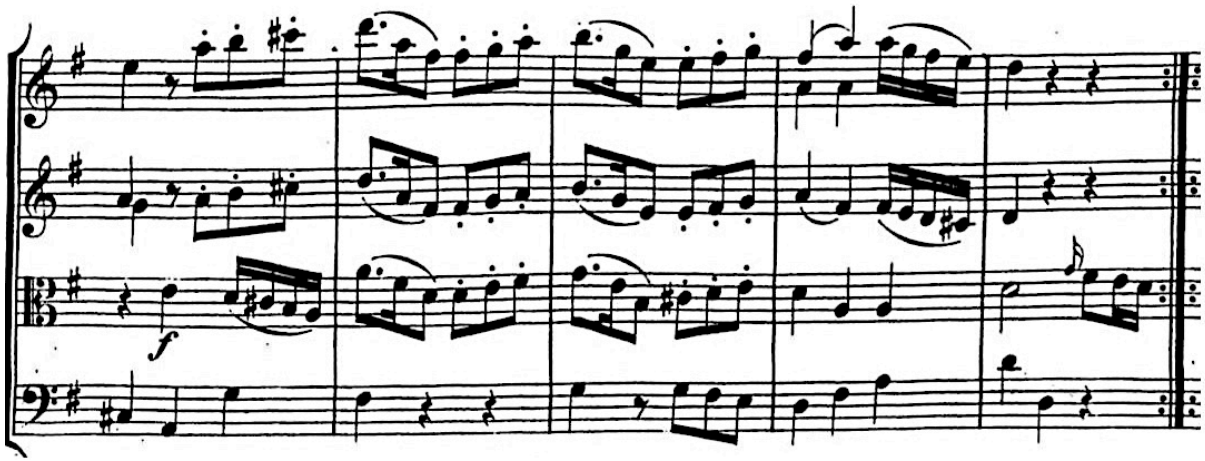
K. 80/73f, String 4t n1 in G (1770-73)



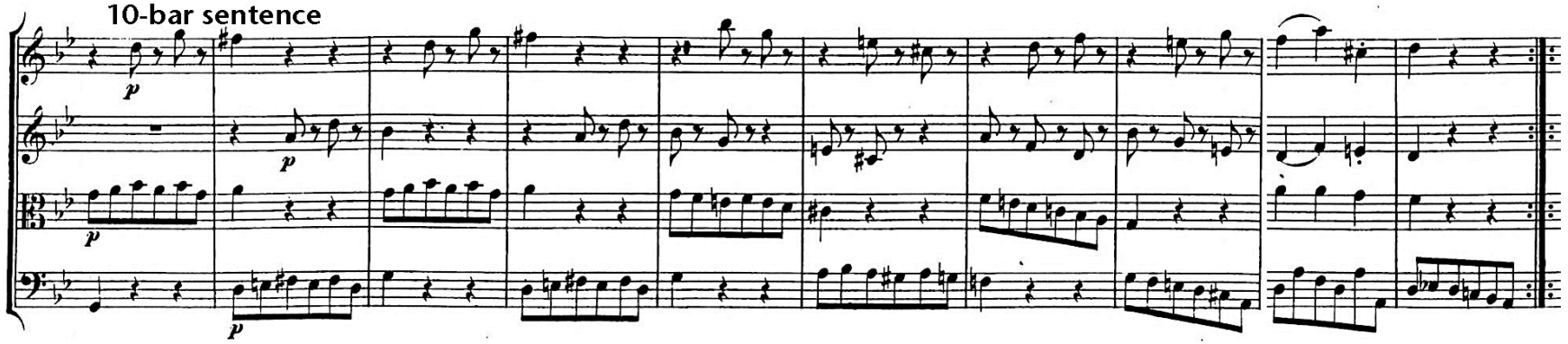


K. 156/134b, String 4t n3 in G (1772)



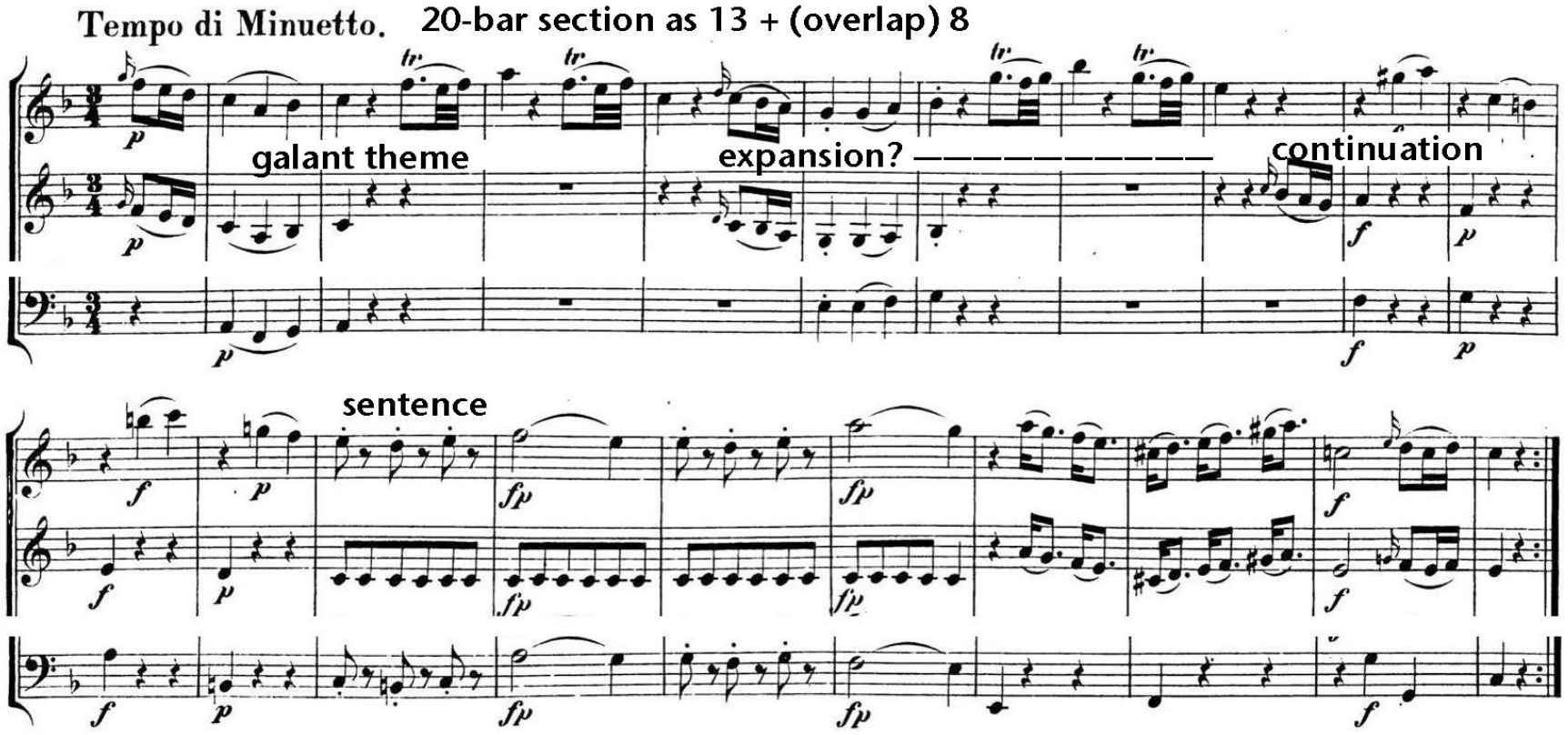


The trio makes use of a simple expansion of the continuation phrase by two bars (7-8).



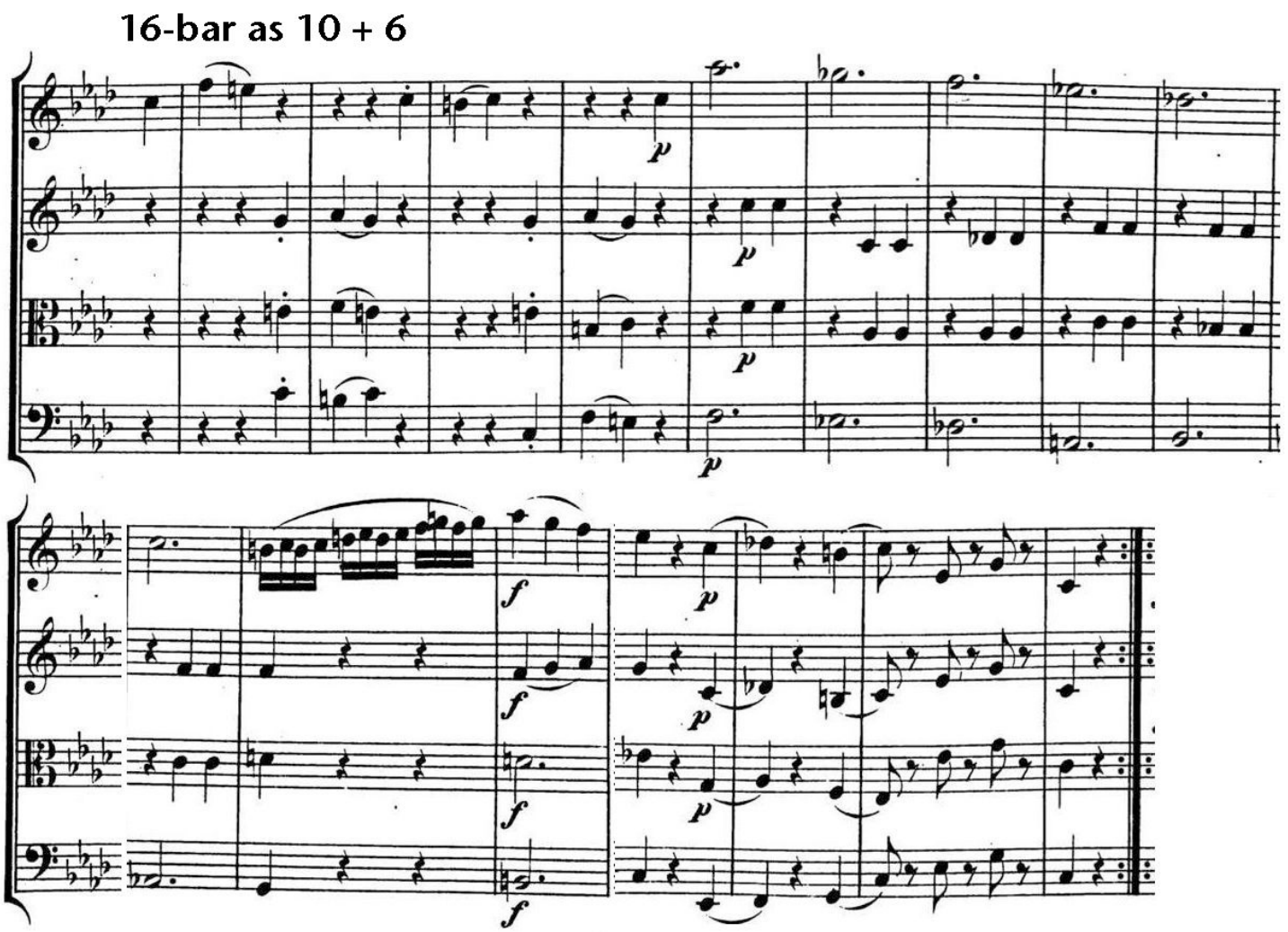
K. 158, String 4t n5 in F (1772-73)

I probably should have called the first strain in the Violin Sonata, K. 11 menuet a "section" rather than a "20-bar theme." Like the first strain for K. 158 below, it consisted of two distinct units, but the second was the first transposed, which fact led me to think of them together. The present case is easier to resolve. A fairly straightforward expanded galant theme is followed by an entirely new and complete theme (a sentence). We'll see more of these multi-theme sections later on, especially in the later quartets and quintets. This chaining of themes, rather than alternation of theme and sequence (or tight-knit and loose-knit elements, in Caplin's terms) is far more common in Mozart than is generally credited.

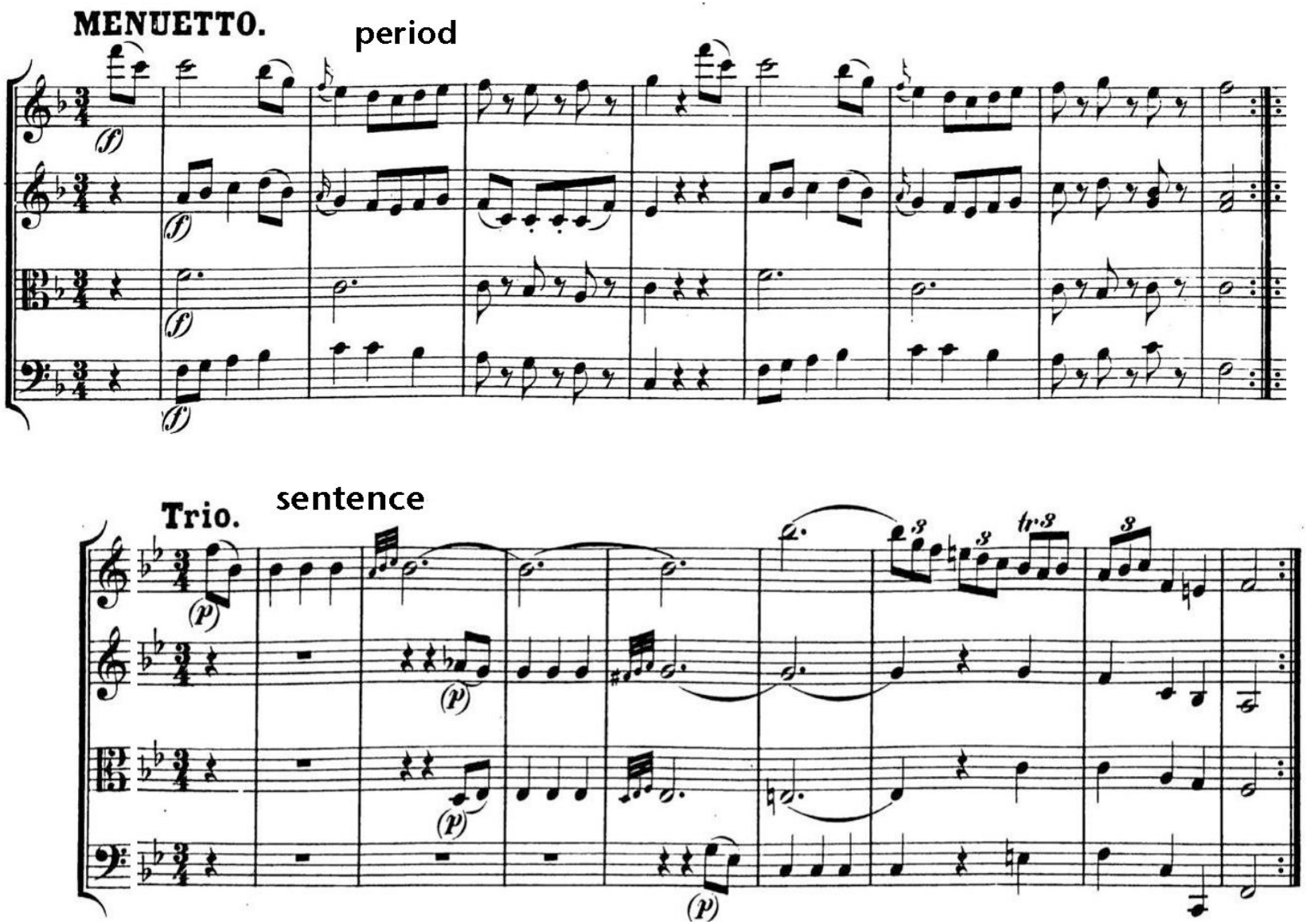


Here in the trio I see that I have miscounted; the "10" should be "11" to reach the end of the HC in C minor. And it would seem better to make the "6" into "5" so that the 16th note flourish is a connector, rather than part of the final phrase, which btw is both a coda and a turn to the "correct" ending on C, rather than its dominant.

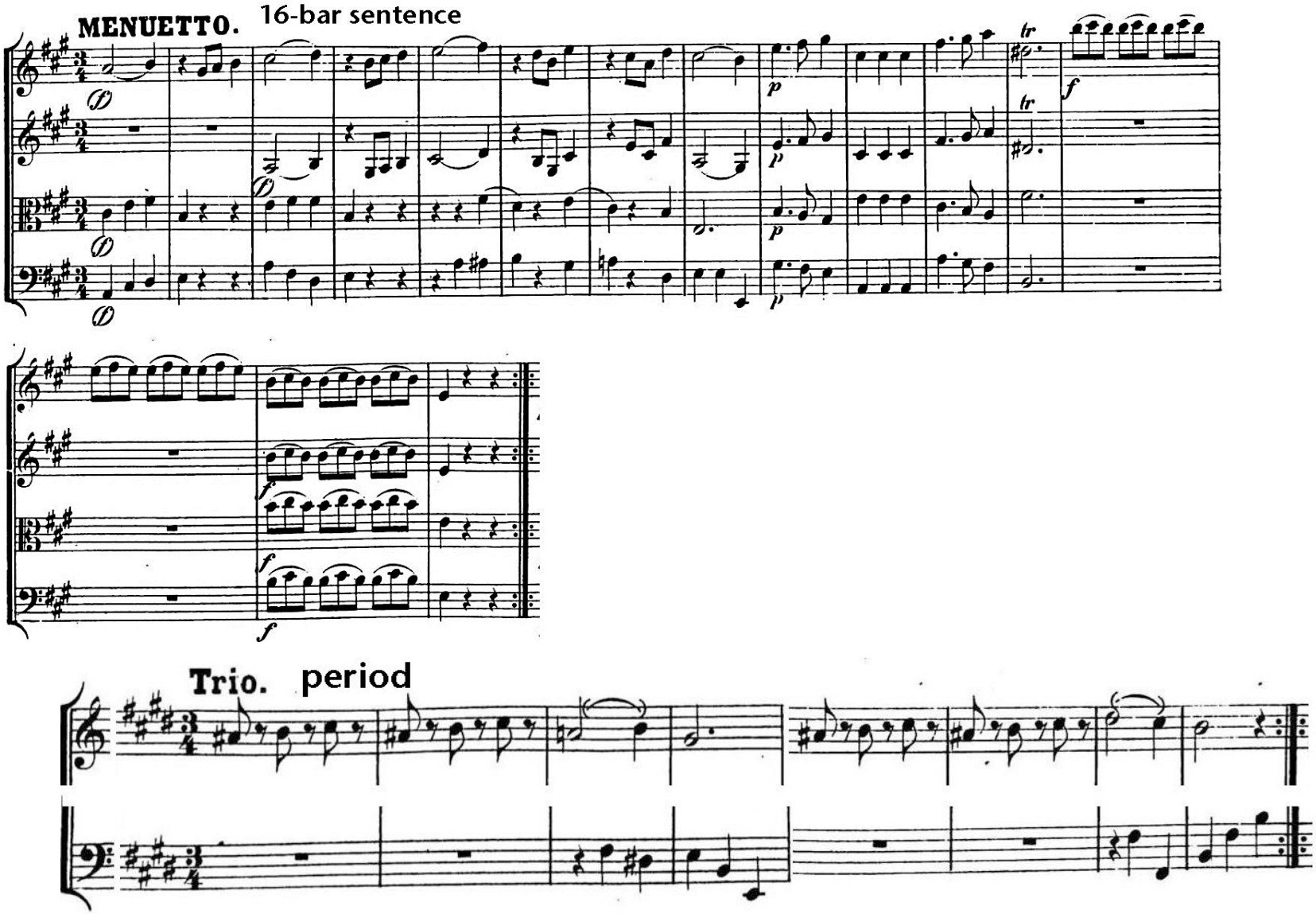
This could have been a simple 8-bar sentence had Mozart written an arrival on C major (HC in F minor) in bar 8.



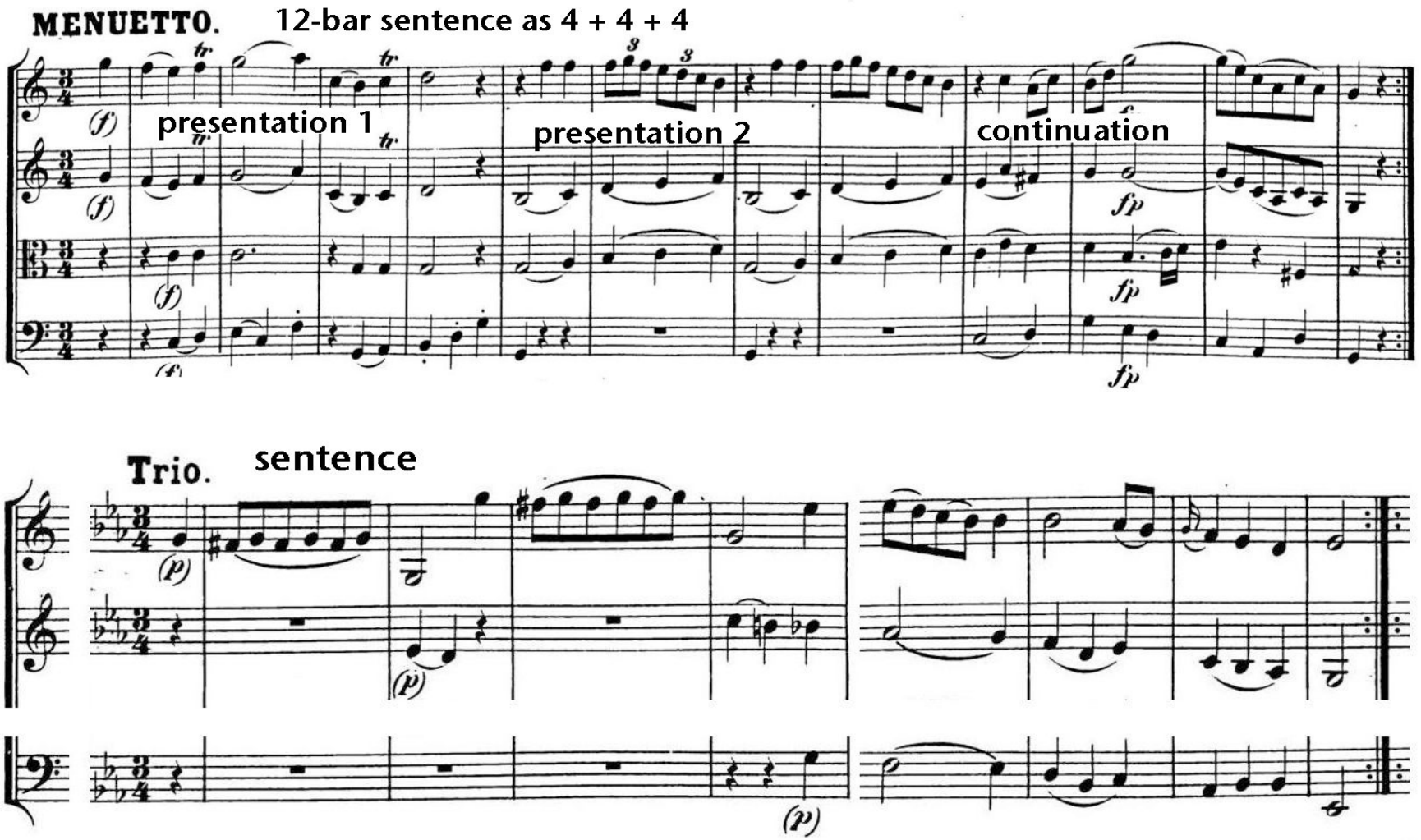
K. 168, String 4t n8 in F (1773)



K. 169, String 4t n9 in A (1773)

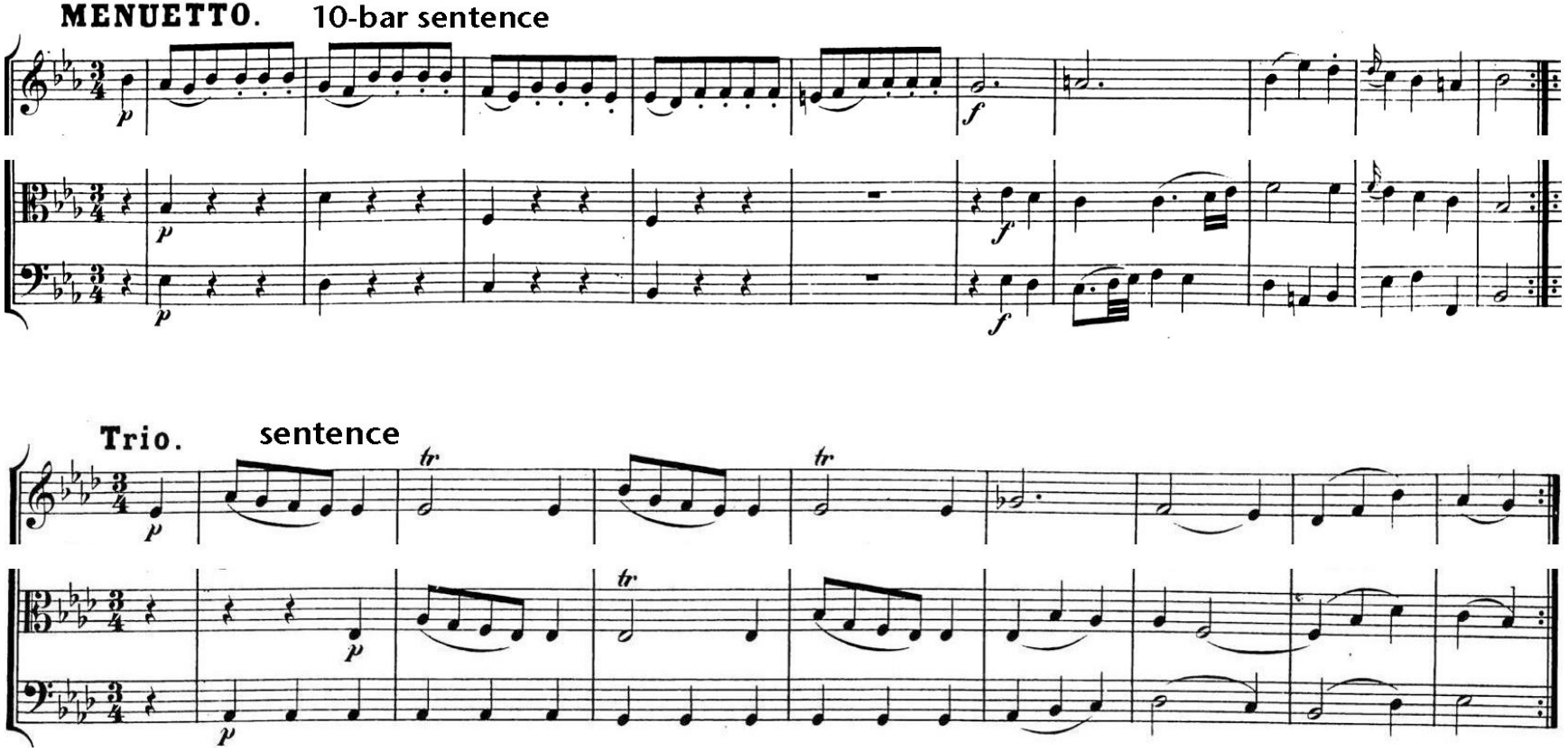


K. 170, String 4t n10 in C (1773)



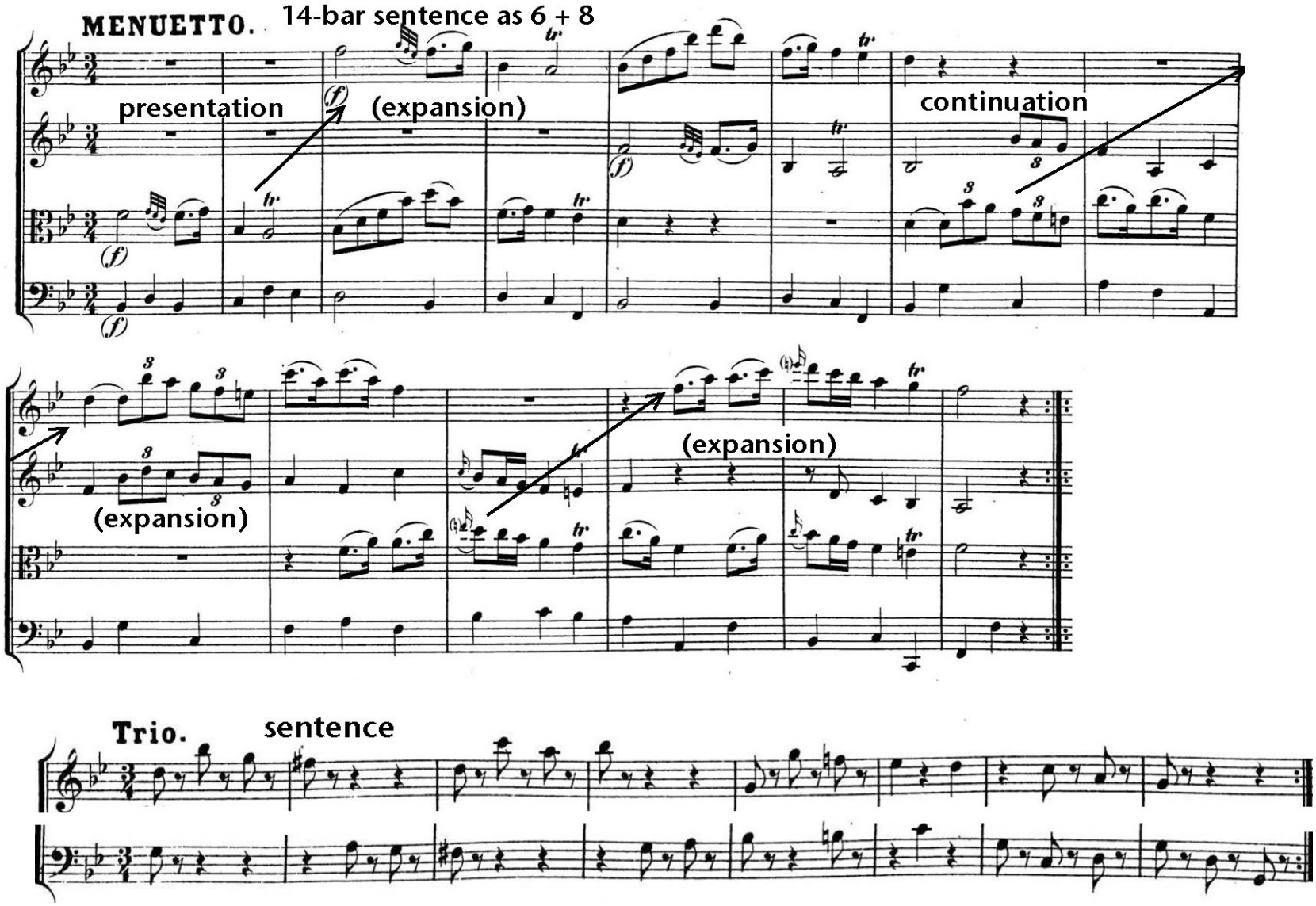
K. 171, String 4t n11 in Eb (1773)

Two points of interest about the menuet. The sentence is 5 + 5, where the first phrase might have been 4 + 1, but the second is definitely 5. Note also that the second phrase does not develop material of the first; indeed, the material is completely different and so the term "continuation"—if we take its best form as the "textbook" continuation of Beethoven Op. 2n1—is not really appropriate. "Contrasting phrase" would be better.[3]

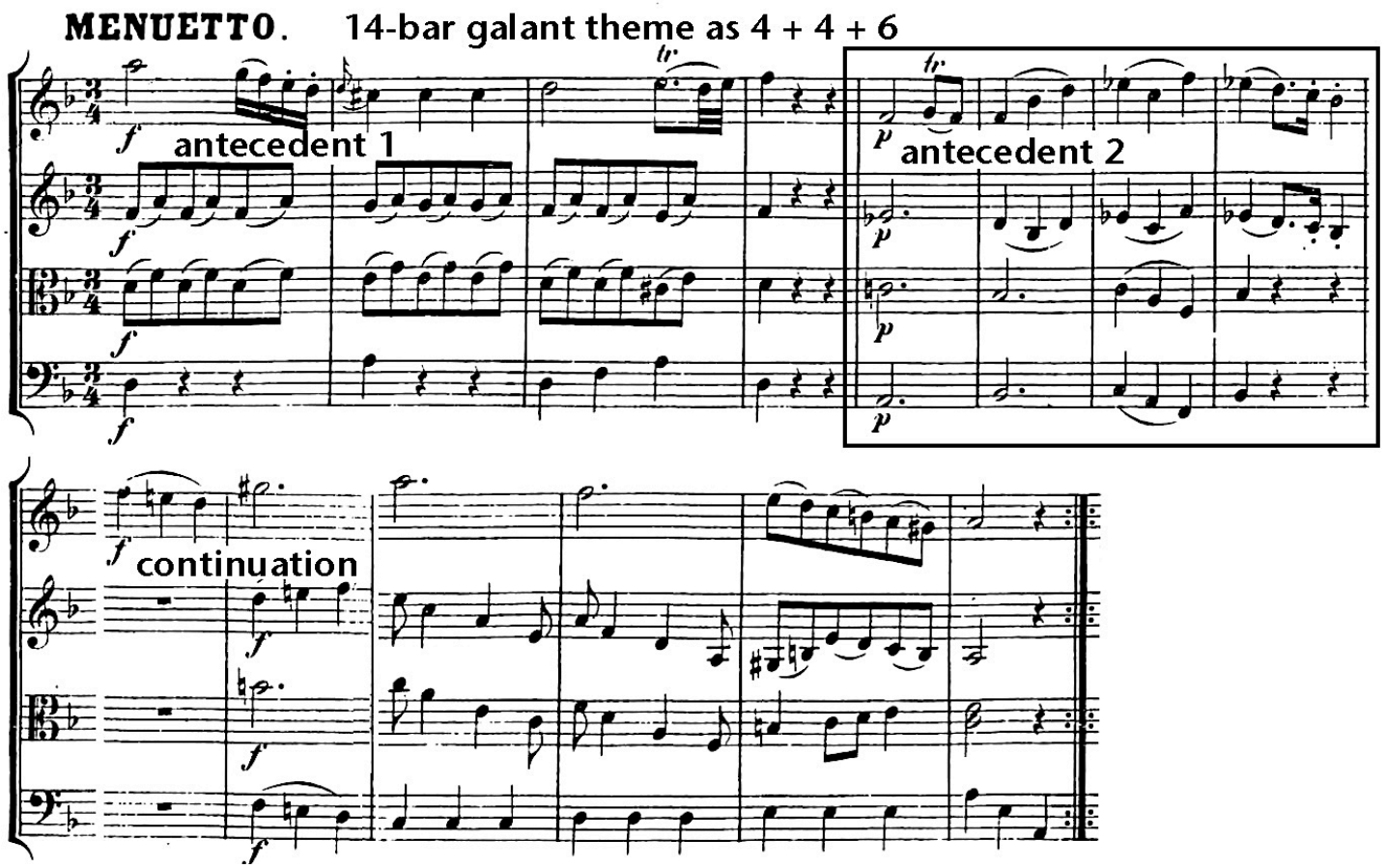


[3] I discuss several examples of galant themes with contrasting phrases in the introduction to the *Form Functions Part 1* essay.

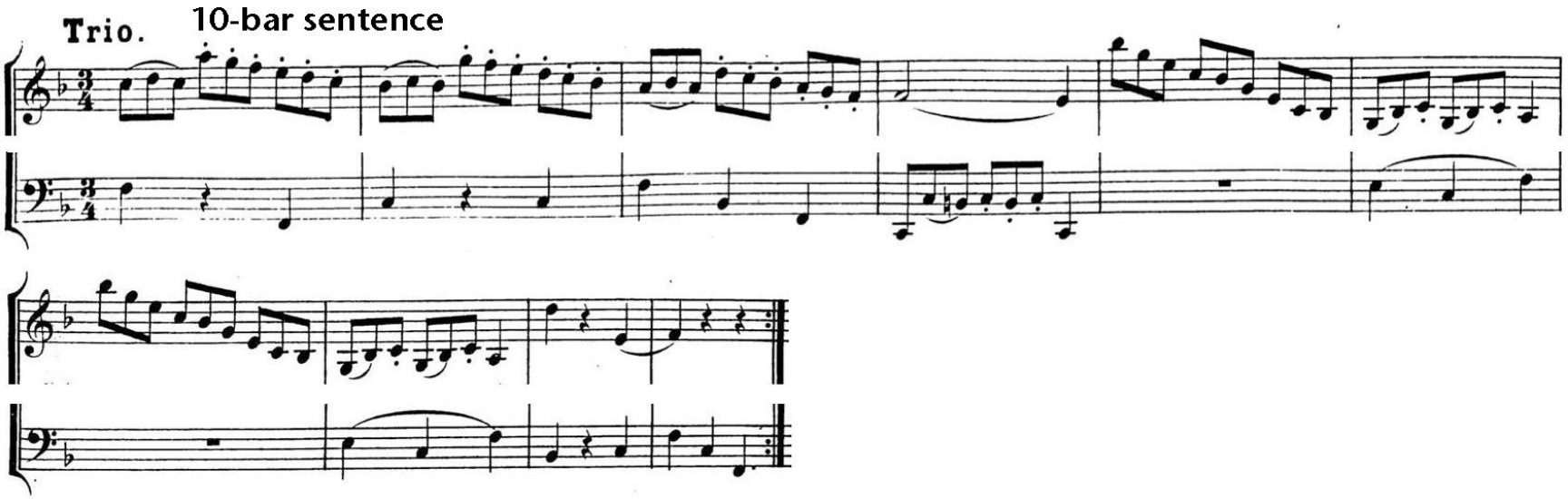
K. 172, String 4t n12 in Bb (1773)



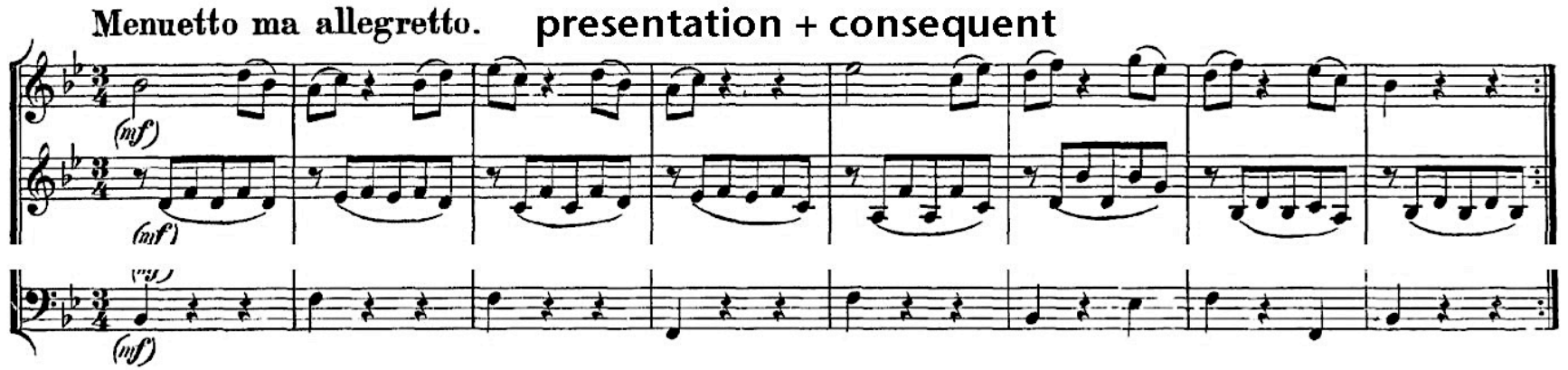
K. 173, String 4t n13 in D minor (1773)



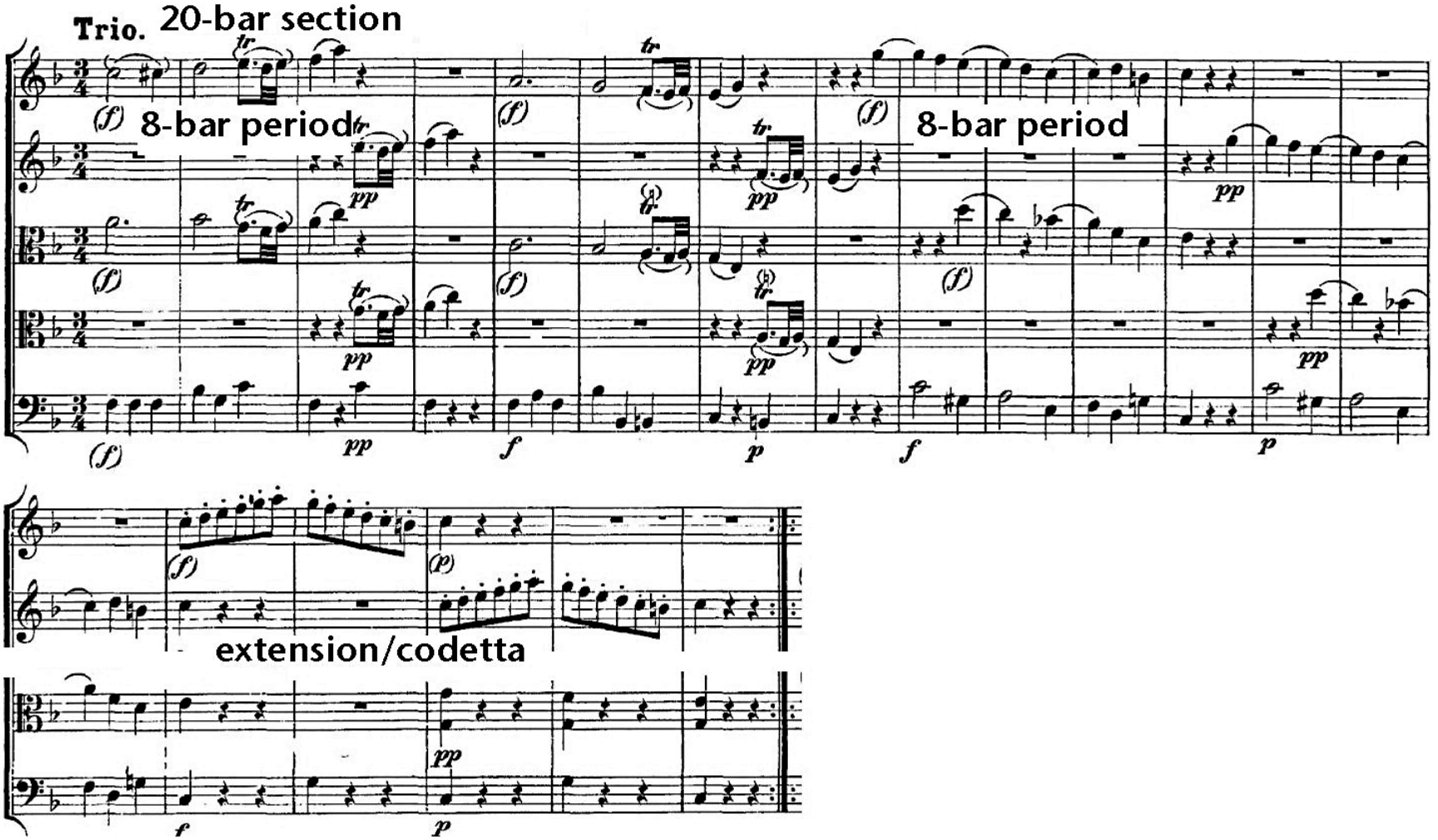
I have labeled this with three phrase units, but the basic design is clearly a 10-bar galant theme, where what I have called "antecedent 2" is a contrasting insertion. (I have surrounded it with a box to make that even plainer.) The continuation is still another contrasting phrase, with entirely new melodic material. It's six bars rather than four, due to an atypical harmonic deceleration: the ECP (Caplin's "extended cadential progression")—note the bass C3-D3-E3-A3, or A minor: ^3-^4-^5-^1—is four bars, but could easily have been two.



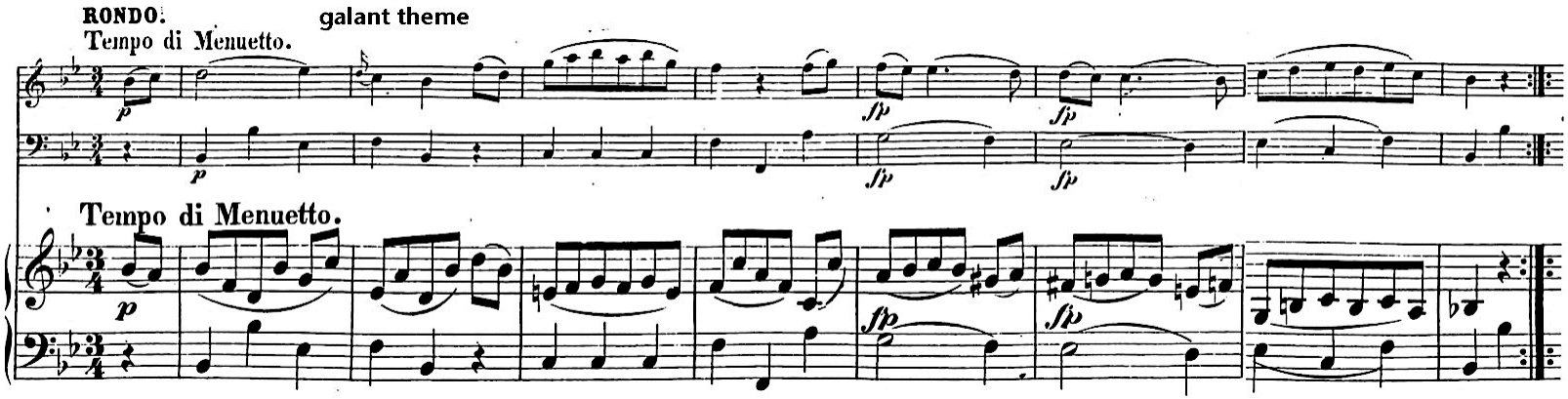
K. 174, String 5t n1 in Bb (1773)



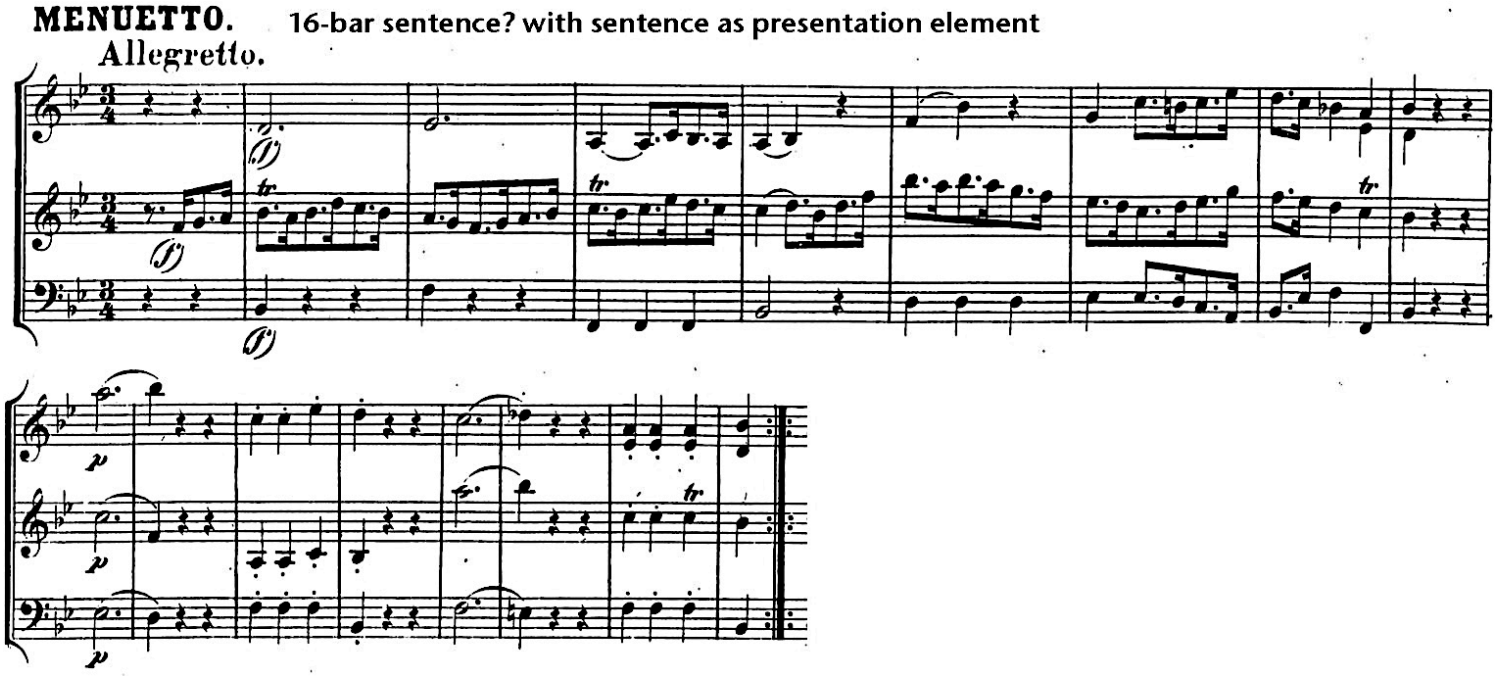
Whether this is a 16-bar theme (a sentence where the second 8-bar unit contrasts with the first) plus a codetta or a two part form section (two periods and a codetta) is moot—as it was in the Violin Sonata, K. 11. I am inclined to favor the latter, as marked, because of the sharp difference in material between the two periods.

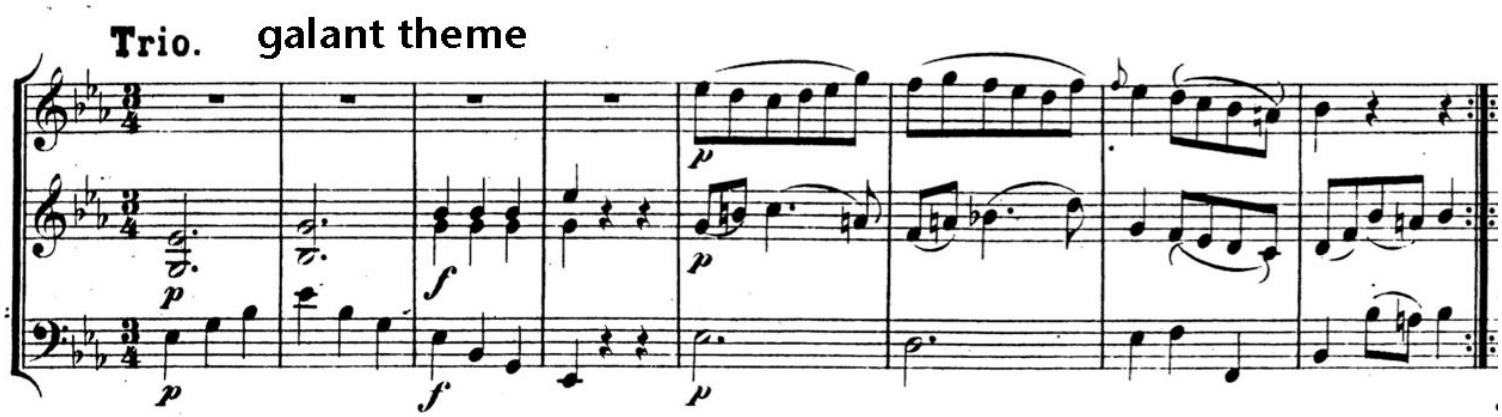


K. 254, Trio in Bb (1776)

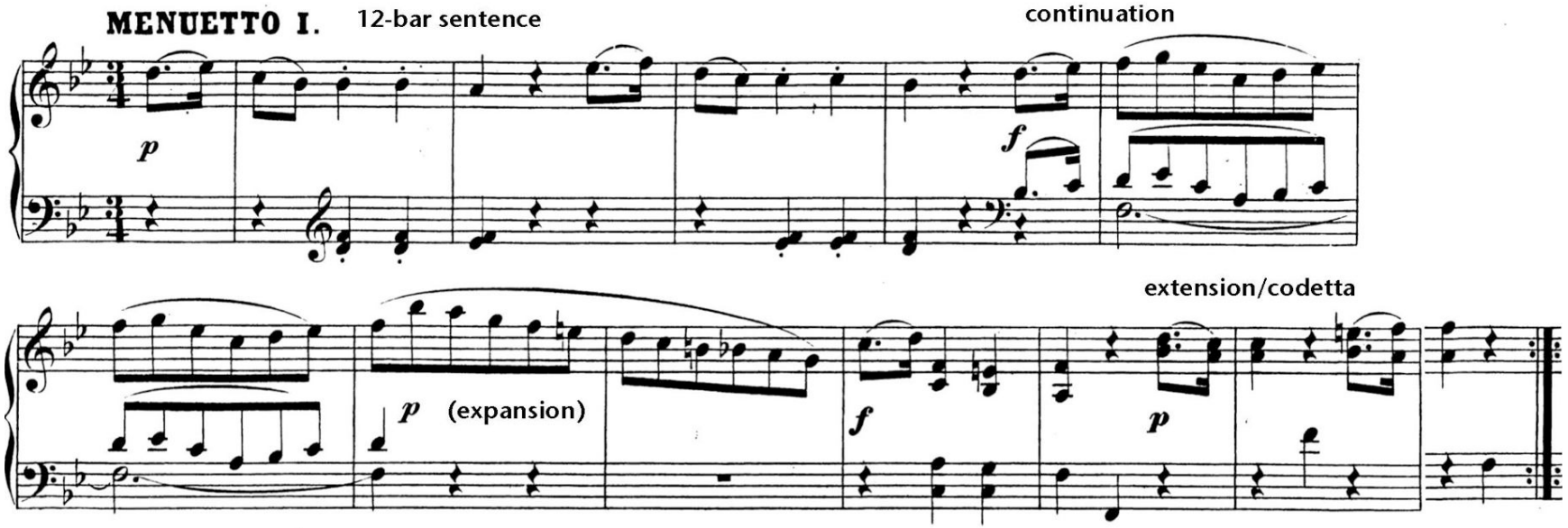


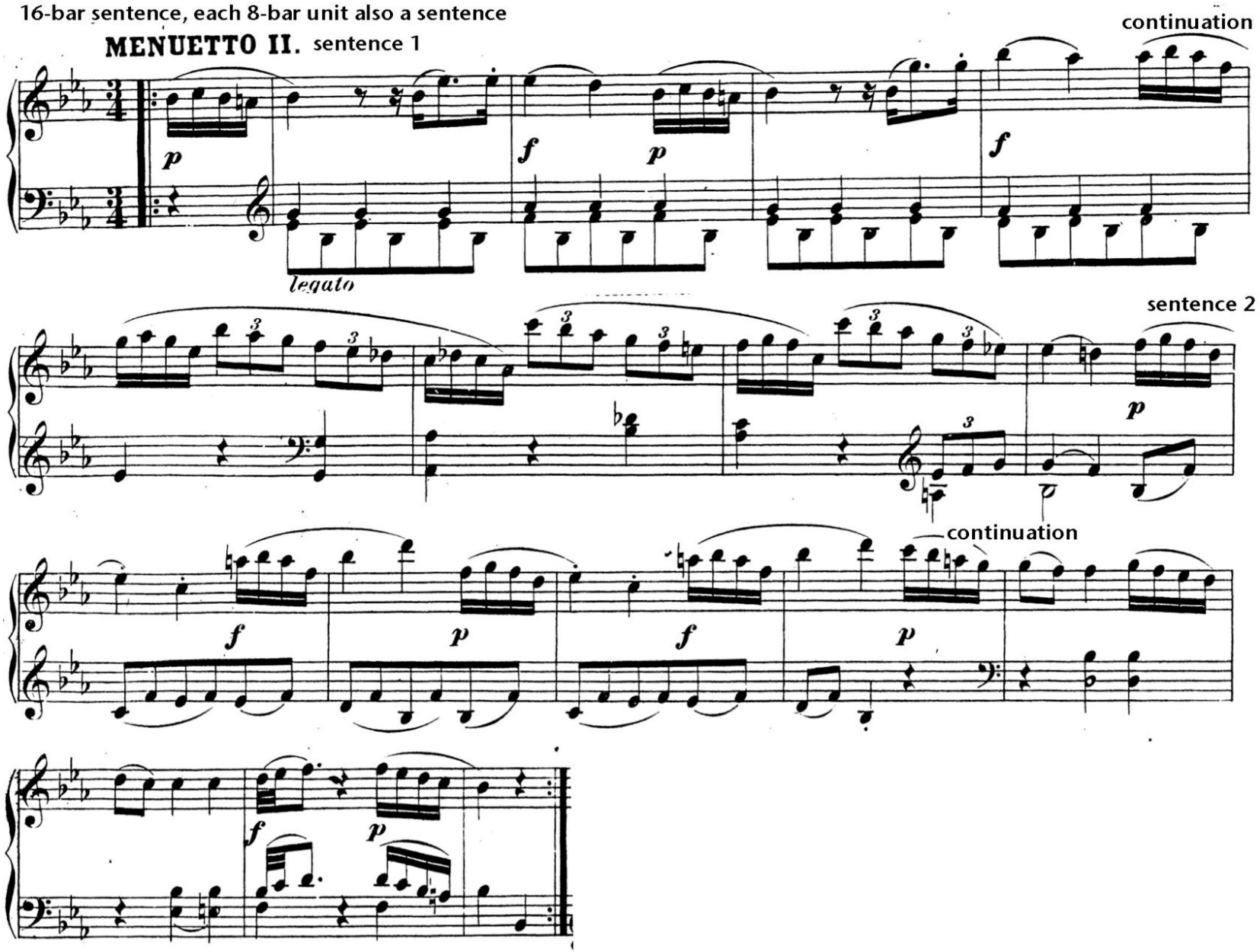
K. 266, Trio in Bb (1777)



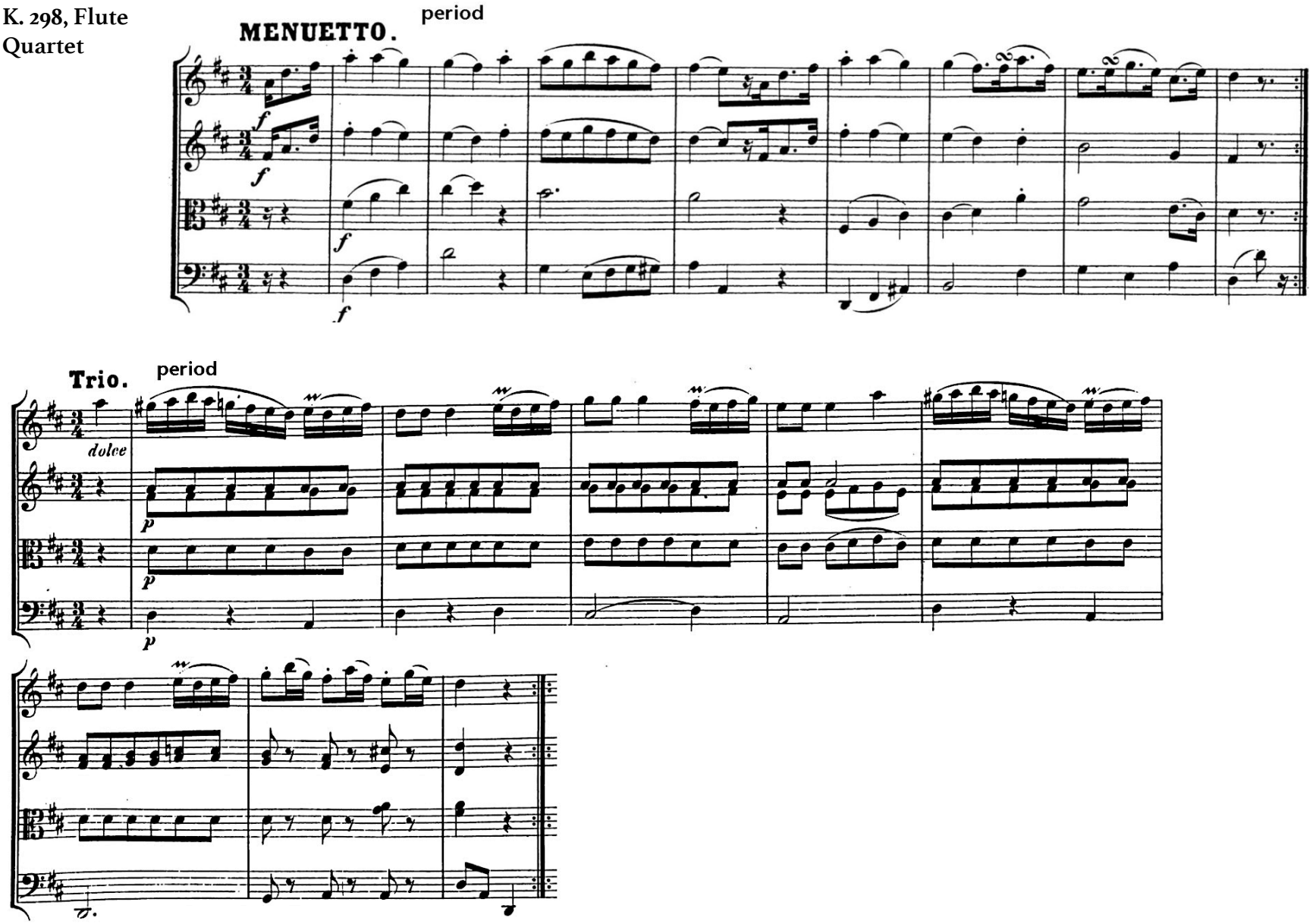


K. 282/189g, Kybd. Sonata n4 in Eb (1775)

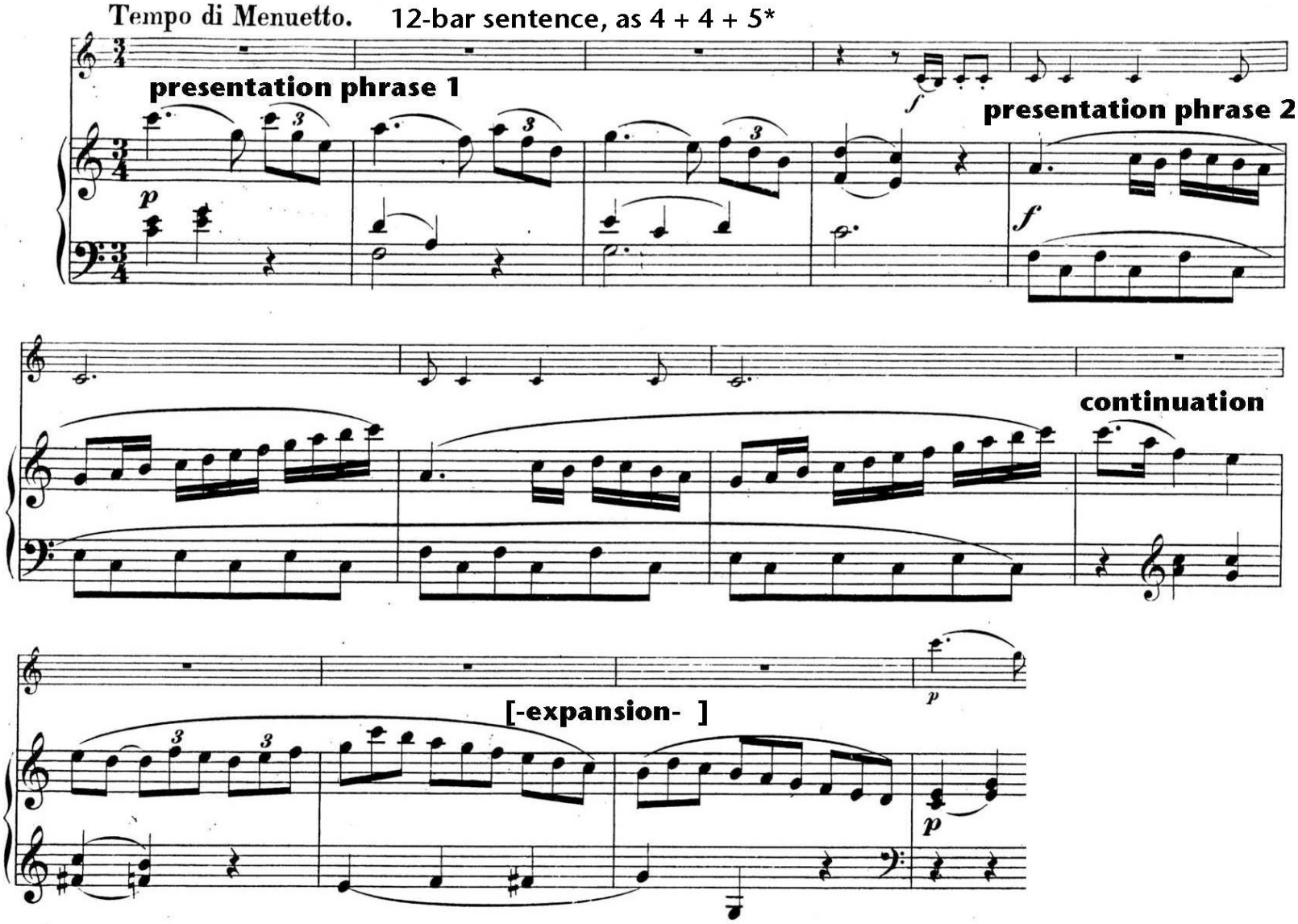



16-bar sentence, each 8-bar unit also a sentence
MENUETTO II. sentence 1
continuation
legato
sentence 2
continuation

K. 298, Flute Quartet



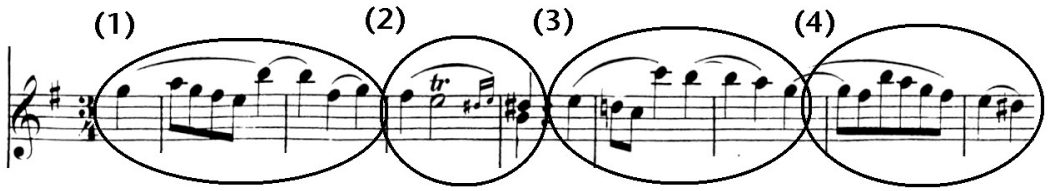
K. 303/293c, Violin Sonata in C (1778)

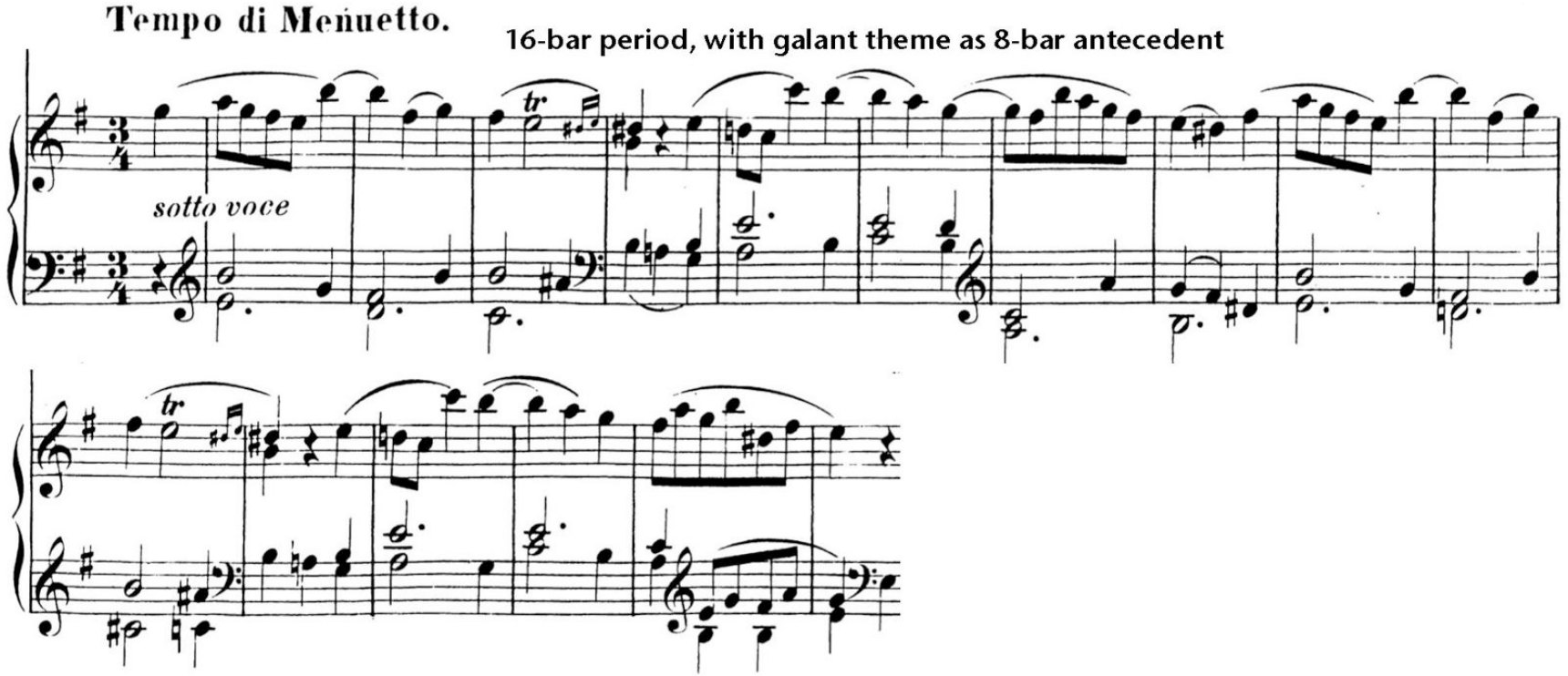


K. 304/300c, Violin Sonata in E minor (1778)

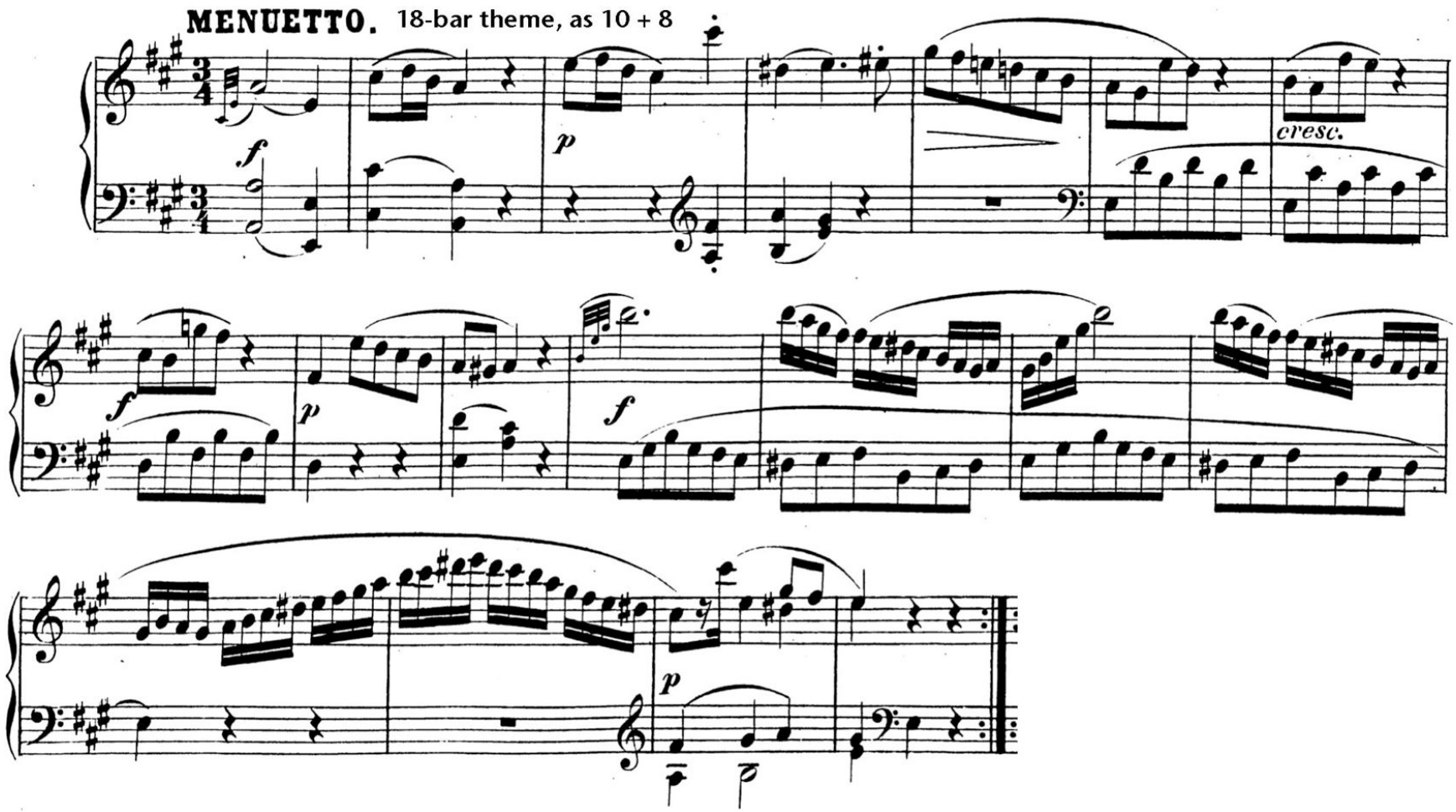
A remarkably simple 16-bar period, though that's often the case for themes that are meant as the basis of more developed movements, especially rondos, as here.

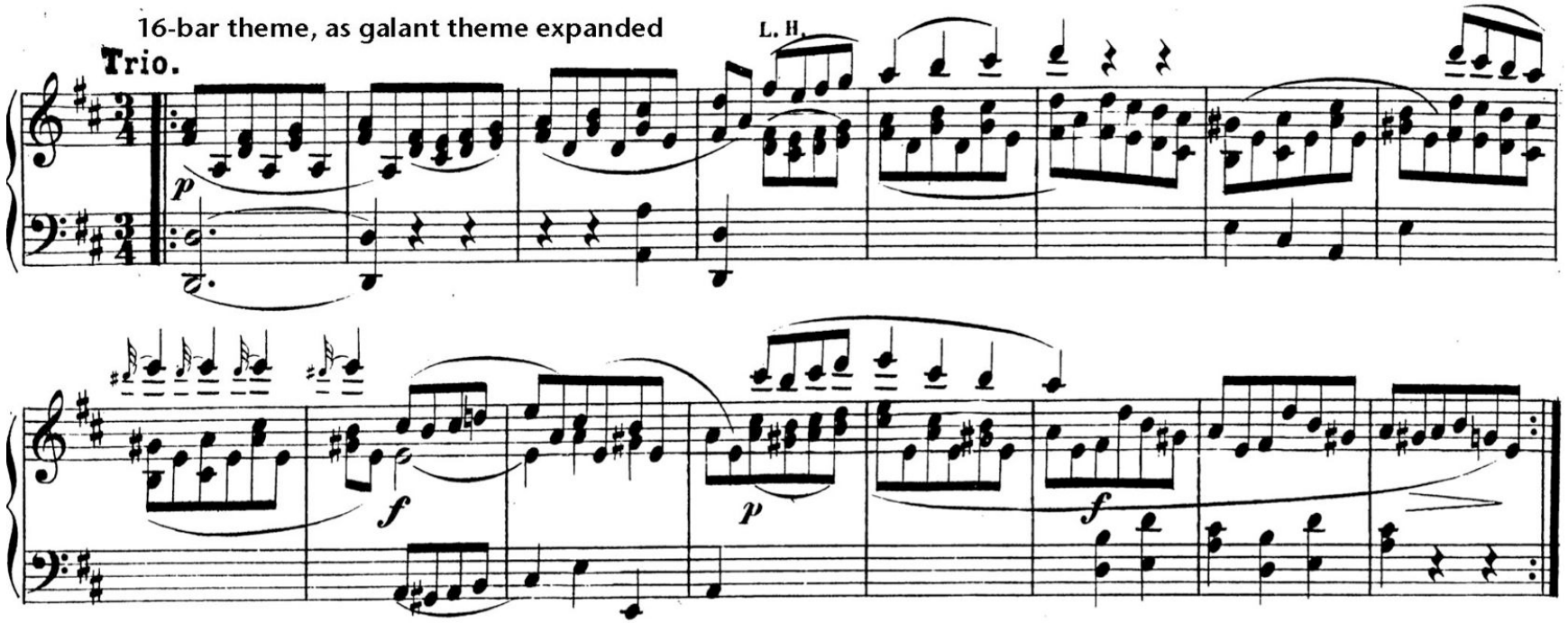
The galant theme is one of those with a contrasting phrase such that all four ideas in the eight bars are different. Some very determined motive-hunting will come up with connections between 1 & 3, and 2 & 4, but clearly the expressive effect here is of maximum contrast, not a Romantic (or even formalist) play on hidden connections.



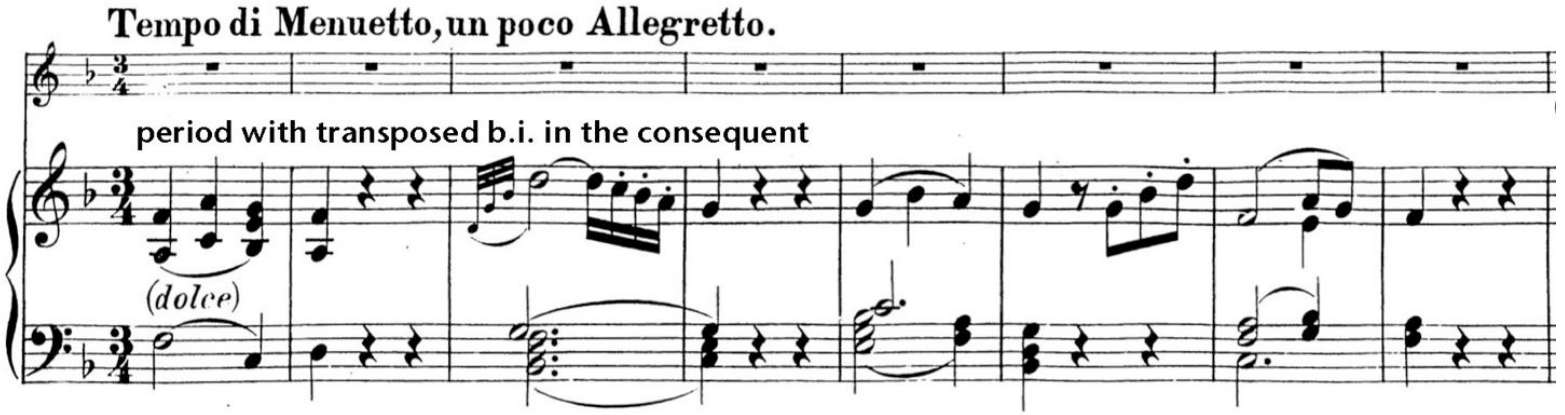


K. 331/300i, Kybd. Sonata nii in A (1783)

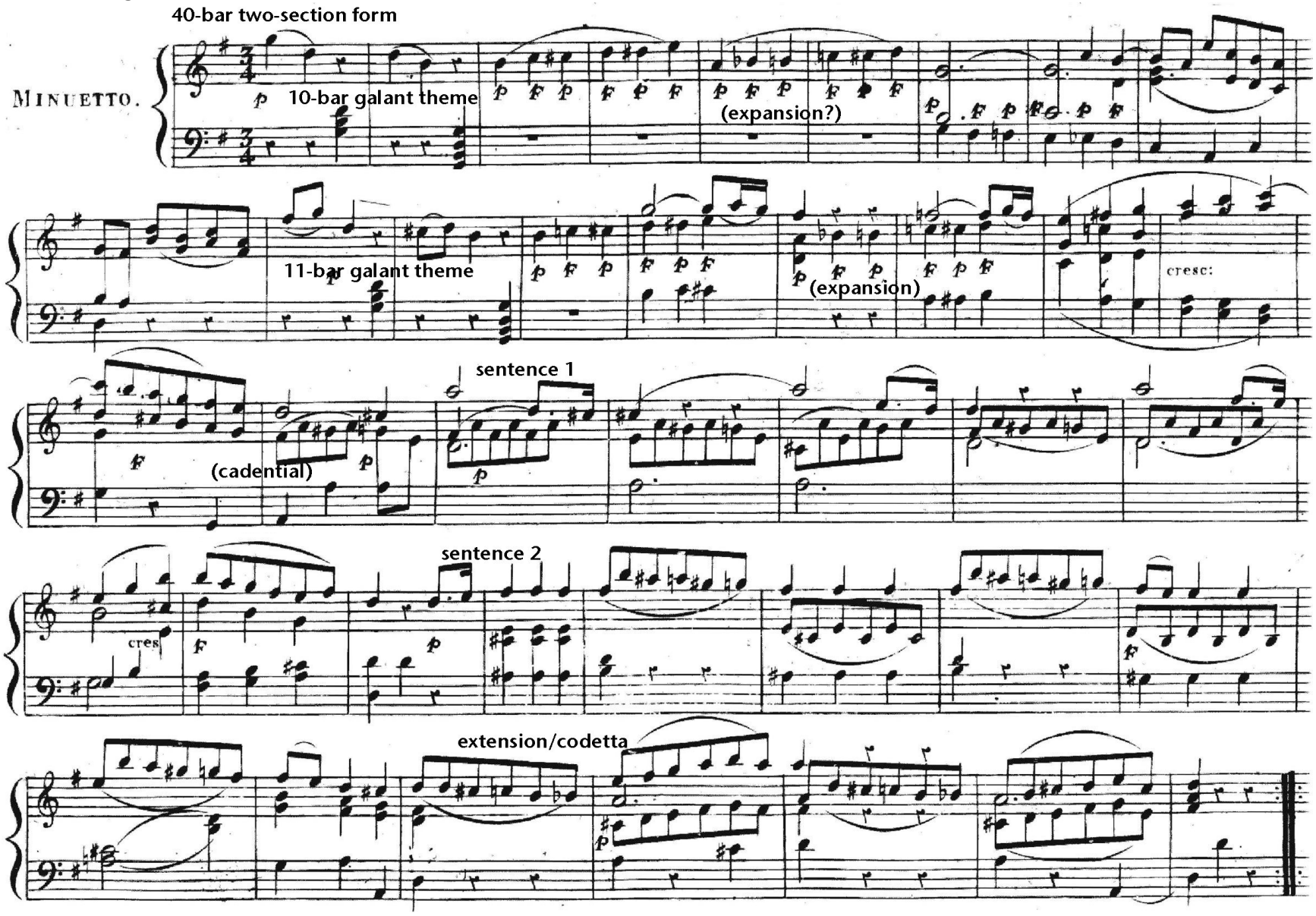




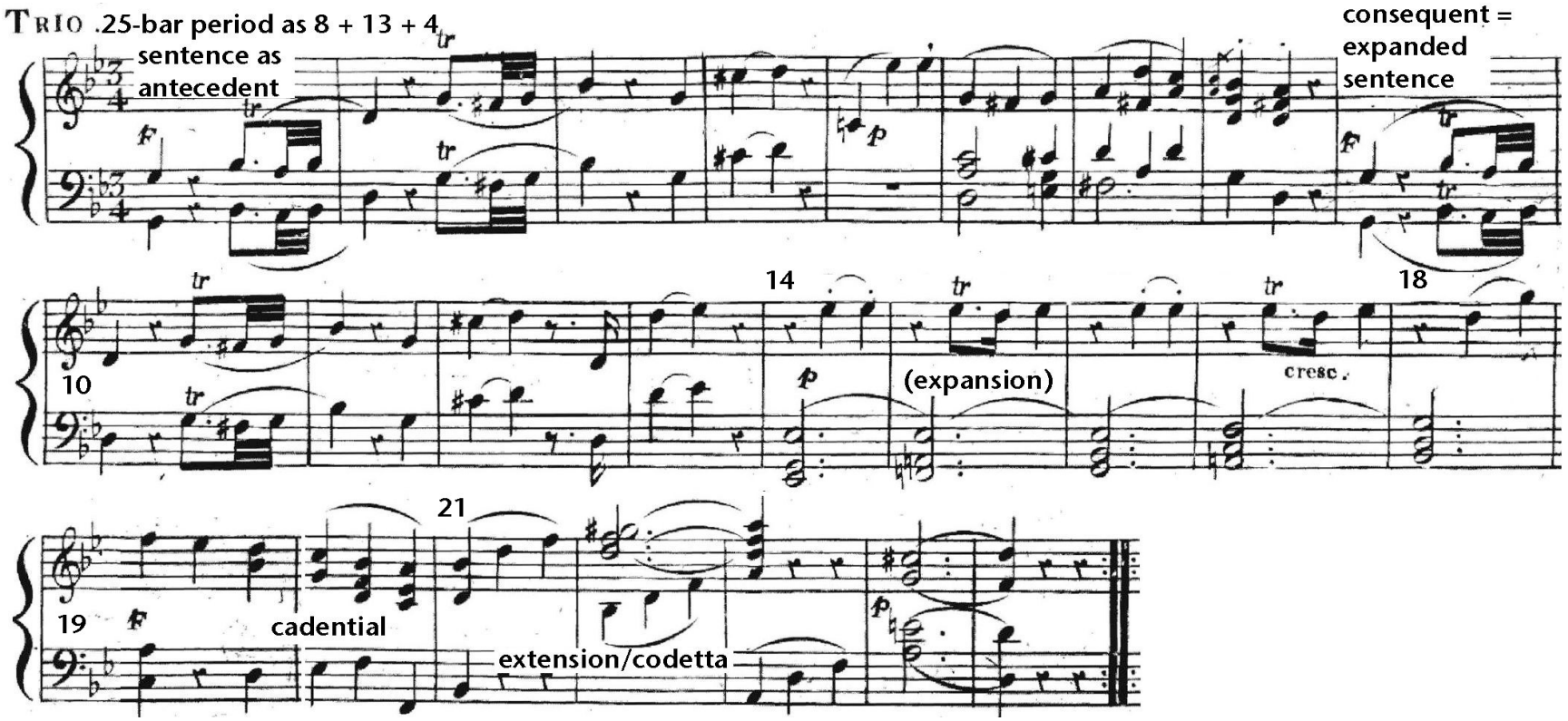
K. 377/374e, Violin Sonata in F (1781)



K. 387, String 4t n14 in G (1782)

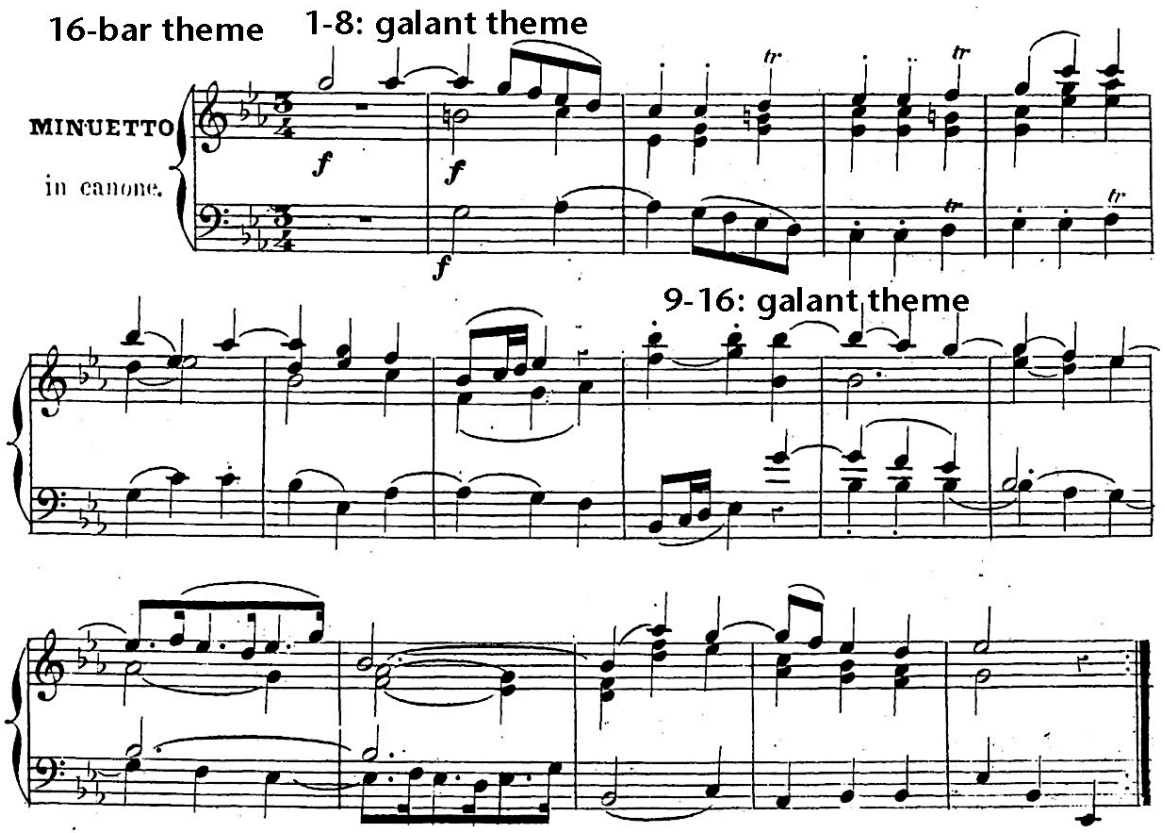


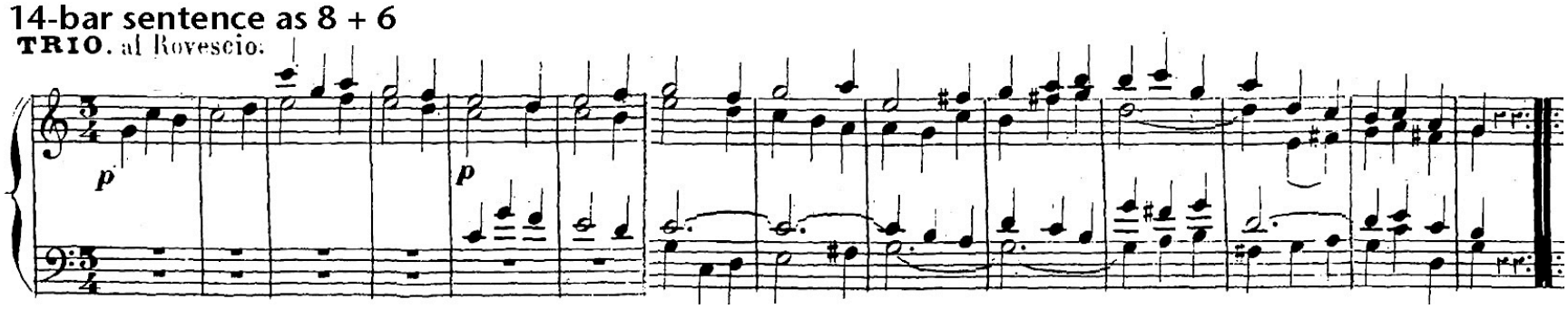
Despite the number of bars, I hear this as an expanded compound (16-bar) theme, not as a form section. First of all, we hear the entire antecedent phrase (1-4) over again (9-12) and the effect of developmental expansion from that point to the PAC in Bb at bar 21 is compelling. The "base" form of the 16-bar period would have been 1-8; 9-12, 18-21.



K. 406/516b, String 5t n2 in C minor (1787-88?)

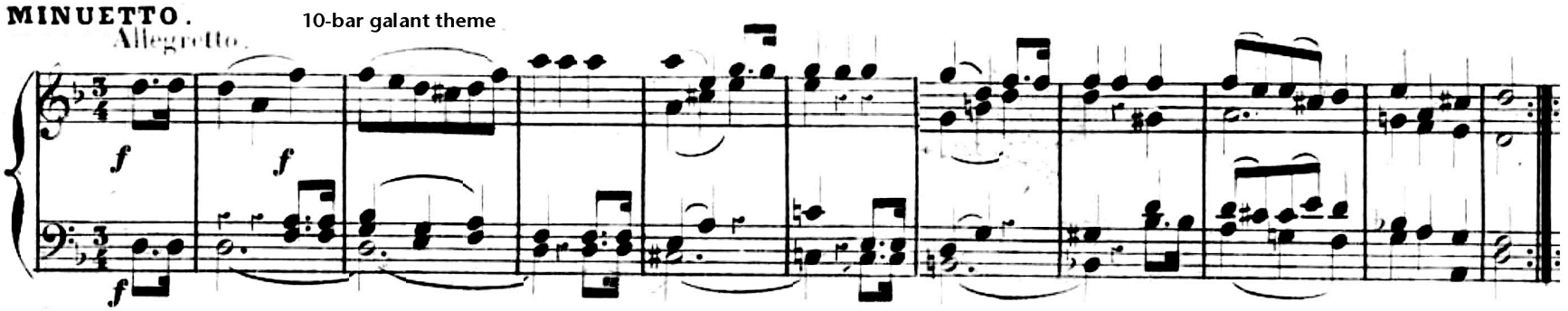
Still another example of a 16-bar theme where the second half contrasts sharply with the first. Only the overlapping scale figure in the bass (due to the canon) creates an overlap that reasonably holds these two galant themes together.



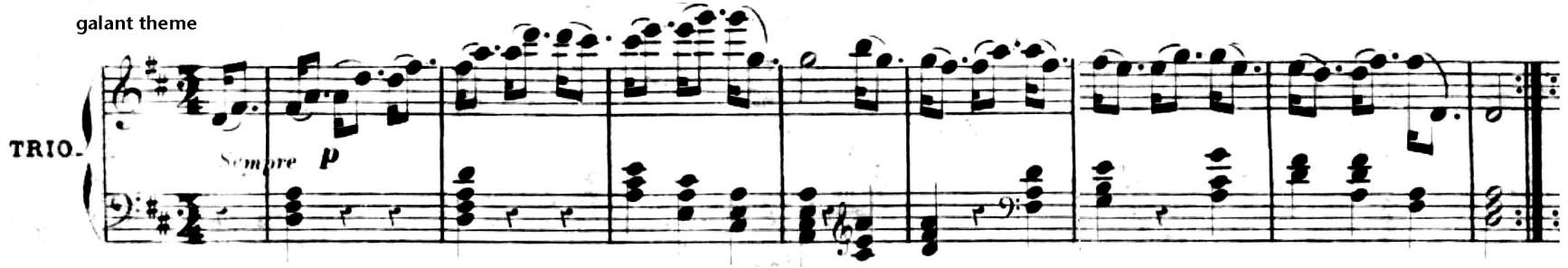


K. 421/417b, String 4t n15 in D minor (1783)

Most of the scores from this point on are piano reductions by Paul Wagner published in Paris by Schonenberger around the mid-nineteenth century. These are neither especially elegant editions nor were the scans of very high quality. I have done what I can to make them as readable as possible. Here the menuet theme is expanded by two bars through a sequence in the continuation phrase. This is also an example of a favorite Mozart trick: overlapping the two phrases by building a sequence off the contrasting idea: the sequence thus runs from *bar 3* (not bar 5) through the first beat of bar 8.



The consistent use of the 16th/dotted 8th rhythm undermines contrast somewhat, but bars 3-4 are still clearly set against the basic idea, as well as the new motive that opens the continuation (and that continues in sequence).

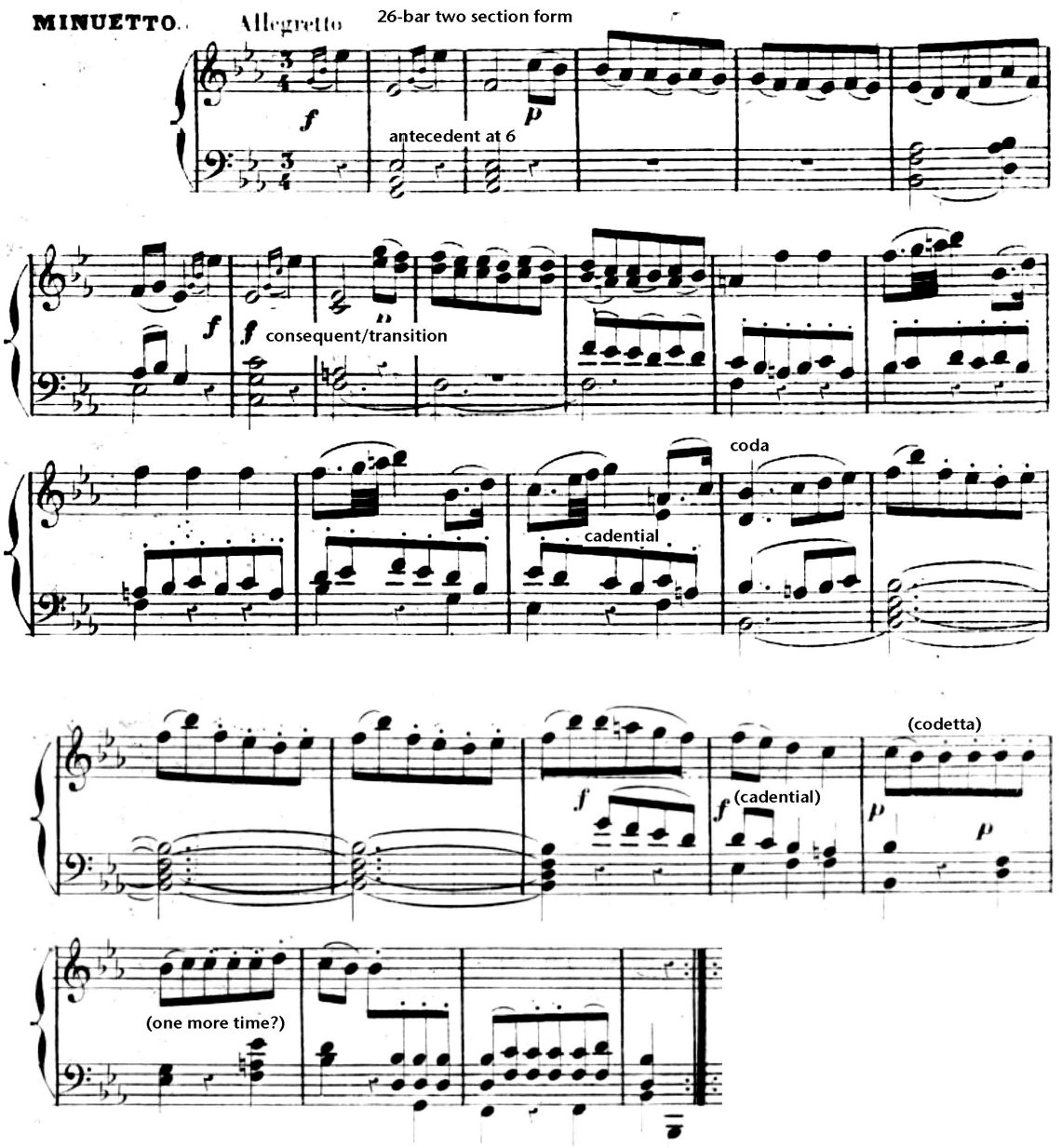


K. 428/421b, String 4t n16 in Eb (1783)

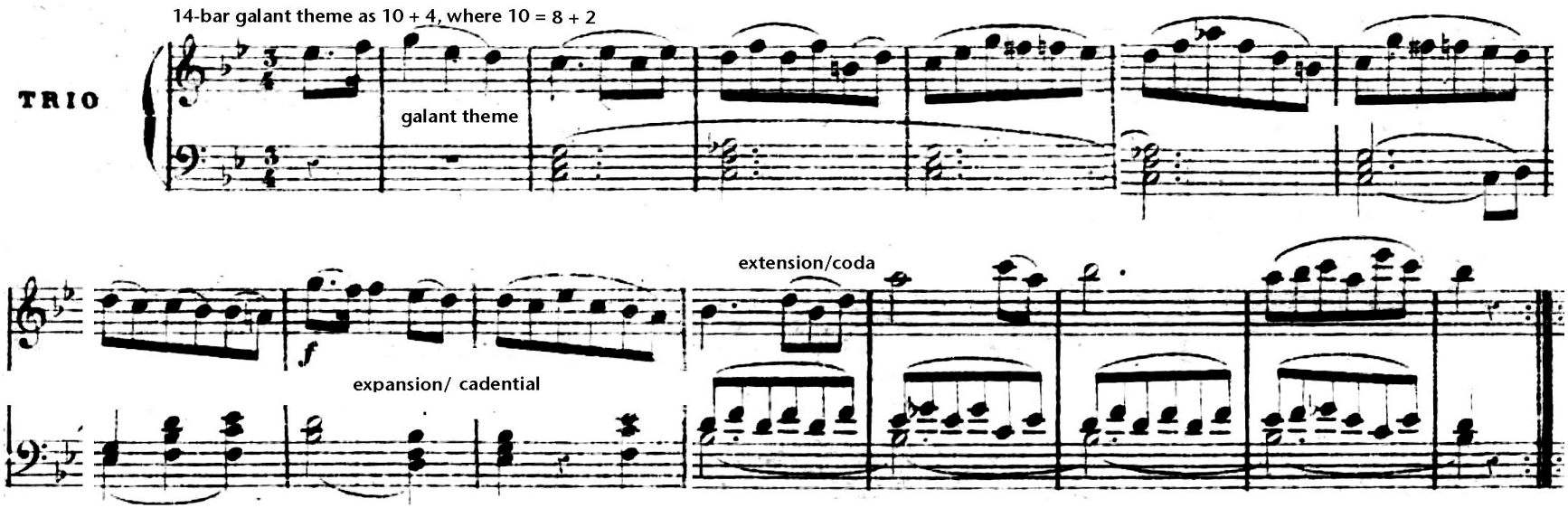
A curious piece altogether. I have called it a two-section form, but it is laid out as theme + (lengthy) coda rather than as two themes.

I might have marked bars 1-16 as a 16-bar galant theme, but I hesitated because the effect is rather that of an expanded antecedent phrase (4 bars --> 6) followed by an even more expanded consequent (4 bars --> 10!). I suppose that "warped period" is not a technical term, but given the current fashion for expressions like "deformation" . . . .

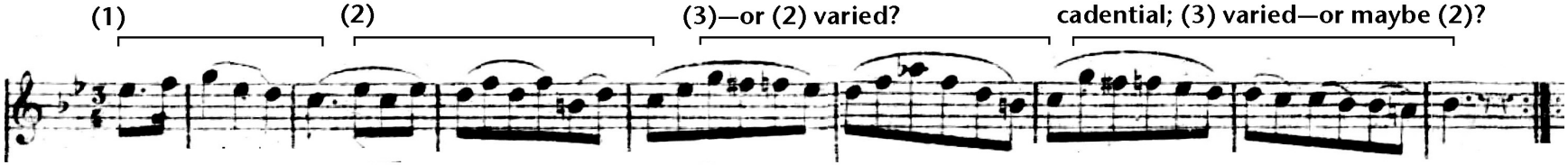
The coda is 10 bars with two equal elements, both closed by PACs.



The trio to K. 428 is another oddity with its non-tonic opening. C minor is the key, for sure, until suddenly it's not with the cadential gesture in bars 7-8, which is then repeated with a firm PAC in 9-10.

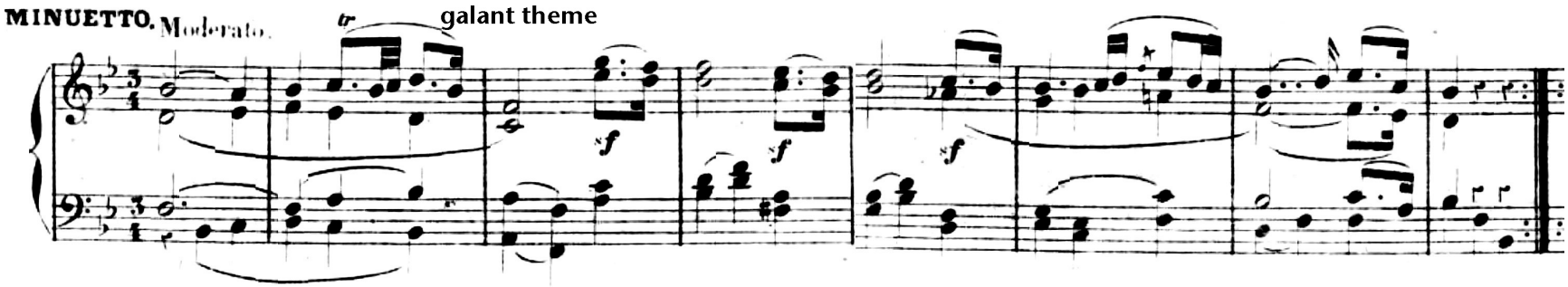


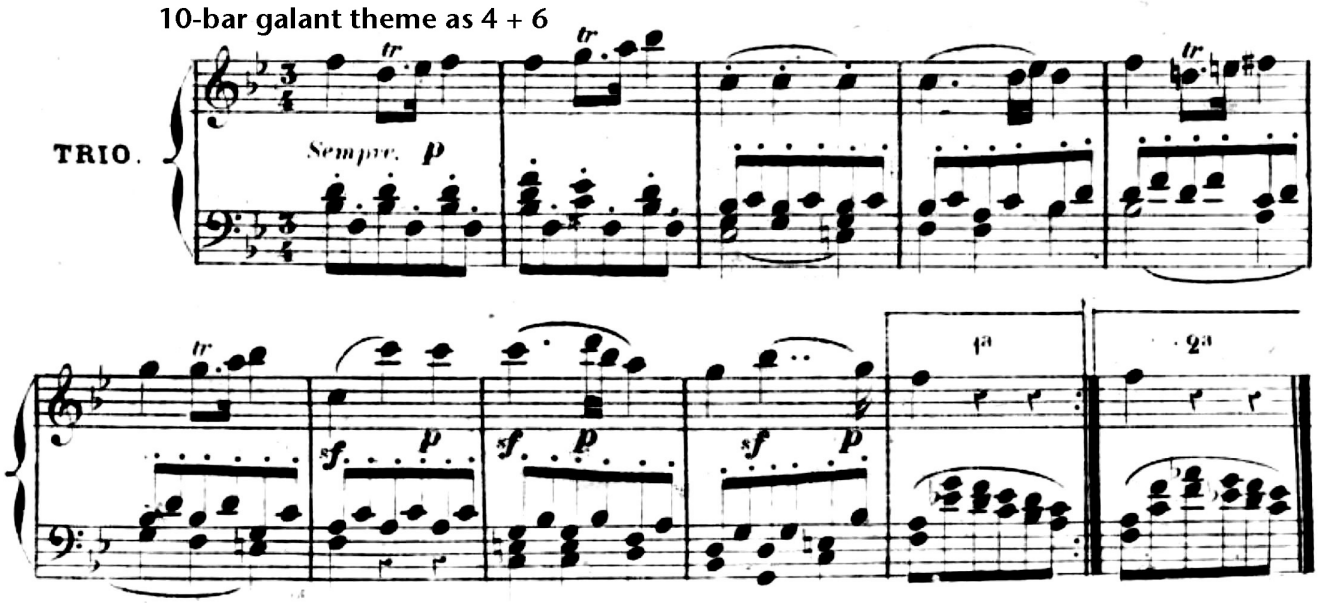
The design of the basic 8-bar galant theme, however, is clear enough—see below. In that form, one can see that it holds yet another of the possible ways to combine two-bar ideas. Ideas (1) & (2) are unproblematic, but (3) is close enough to (2)—also see the harmony in the score above—that it's easily heard as a variant. Mozart writes ABBC and even ABBA forms; perhaps this is one of those? Instead, bar 6 is nearly identical with bar 4, and so although the function of the end is cadential, it sounds like a variant of (3), which is a variant of (2). Overall, then, the design is ABB'B''.



K. 458, String 4t n17 in Bb (1784)

The menuet is very similar to its counterpart in K. 421, where the final motive of the antecedent phrase starts the sequence for the continuation phrase, thus (slightly) obscuring the overlap between the phrases.

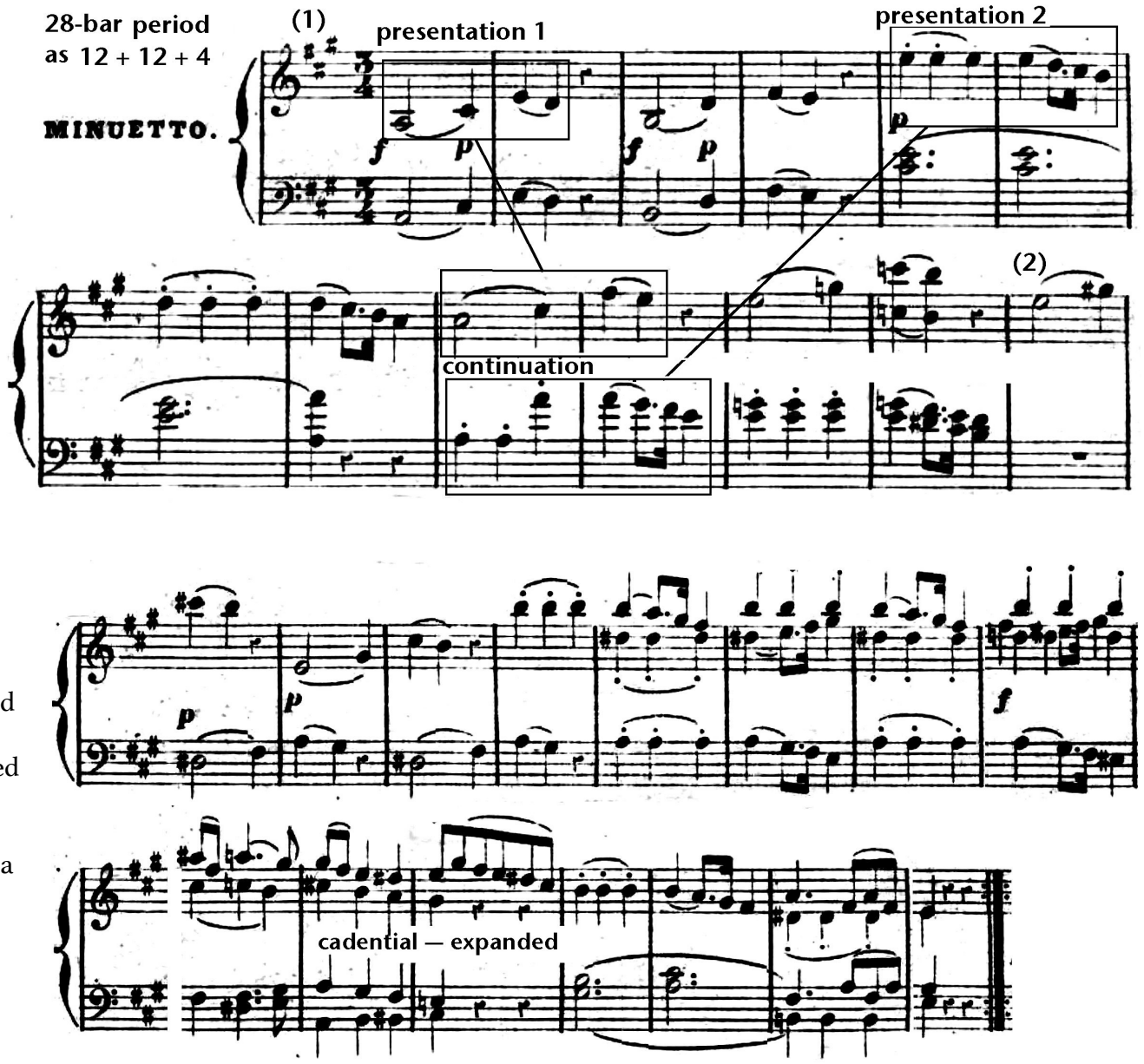


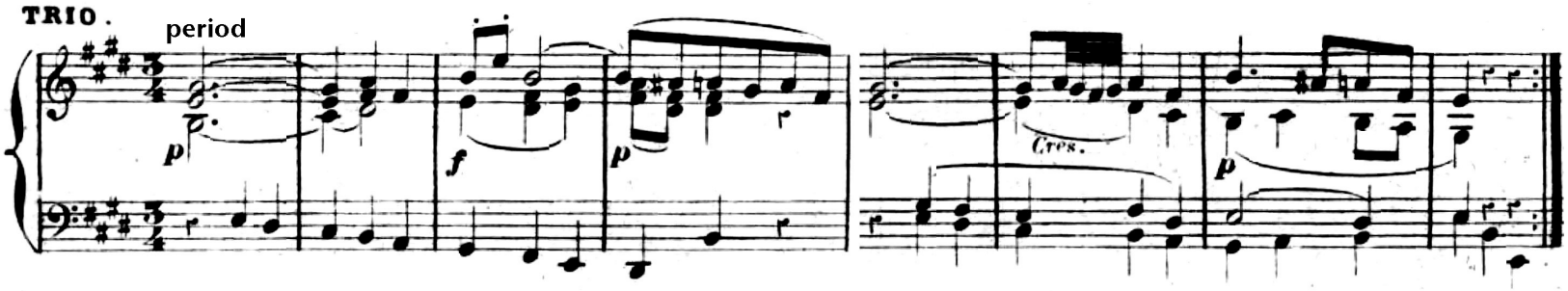


K. 464, String 4t n18 in A (1785)

Despite the length (28 bars), this is a "theme" (however expanded) rather than "form section." The basis is a 16-bar period whose phases are expanded sentences -- see (1) & (2). Because of the contrapuntal workings to follow, there are two presentation phrases in phase 1, and the two ideas are immediately combined to make up the continuation phrase.

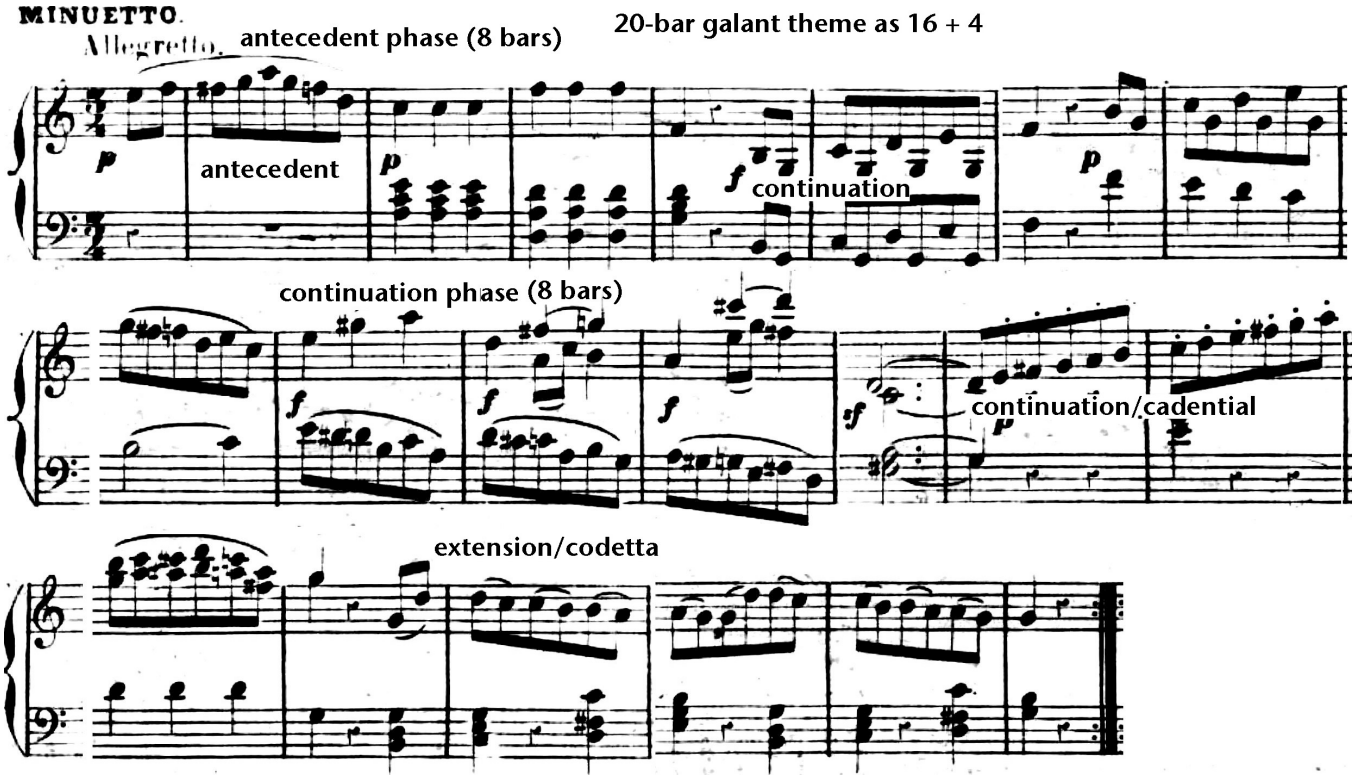
The consequent phase 2 of the compound period gives us the two presentation phrases packed with imitation, presentation 2 (bars 5-8) being greatly expanded (bars 17 ff). In addition, the "proper" 12 bars of this consequent phase are foiled by a deceptive cadence (see five bars from the end).



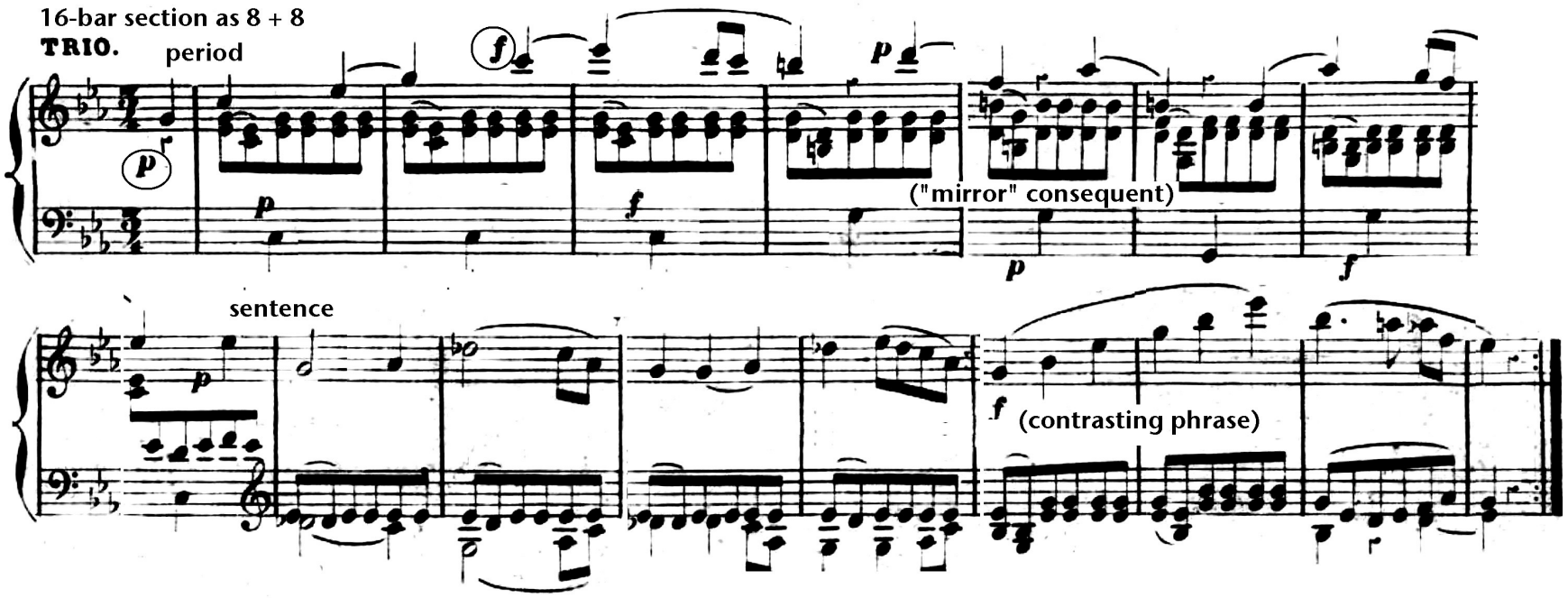


K. 465, String 4t n19 in C (1785)

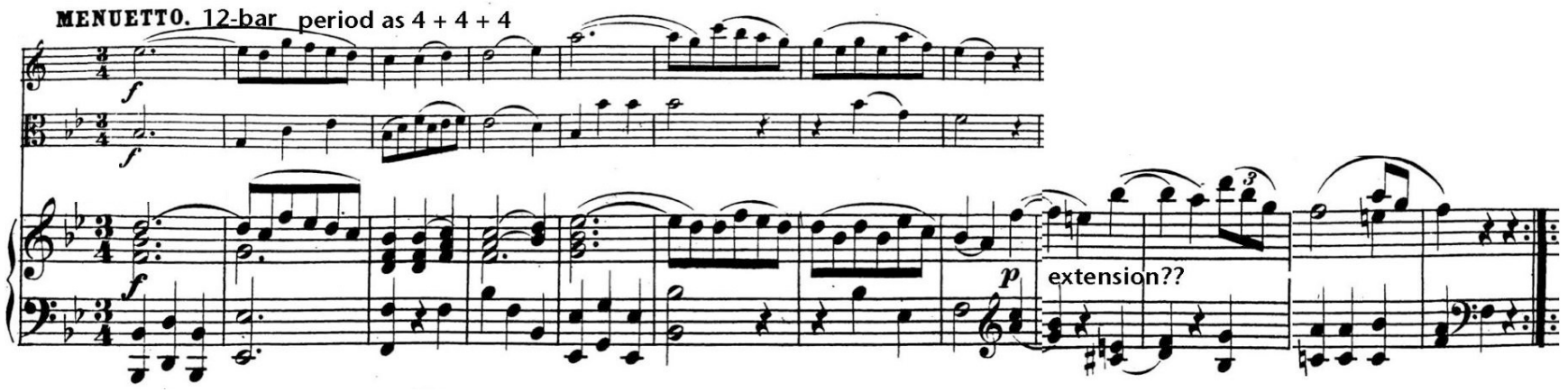
Here is a galant theme nested inside a galant theme. The overall design is a compound galant theme whose antecedent phase is bars 1-8 and continuation phase is 9-16. A codetta closes the section.

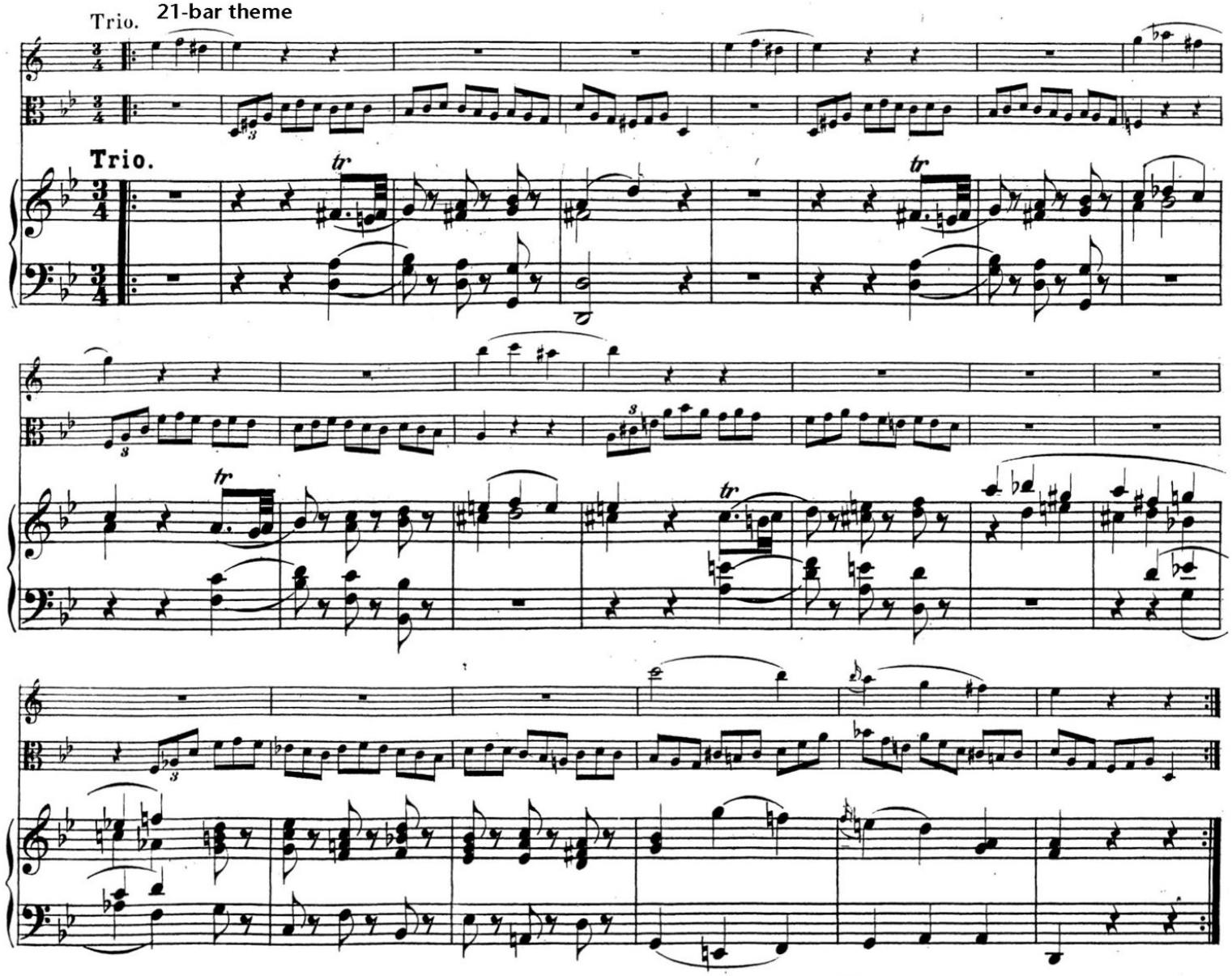


Bars 1-8 are also a galant theme, with a contrasting rather than developing continuation. Once again Mozart has obscured the ending somewhat with imitation: the right hand of bar 8 is worked in sequence in the following bars. (The counterpoint of bars 8 and 9 btw is invertible counterpoint at the octave.)



K. 498, Trio in Eb (1786)

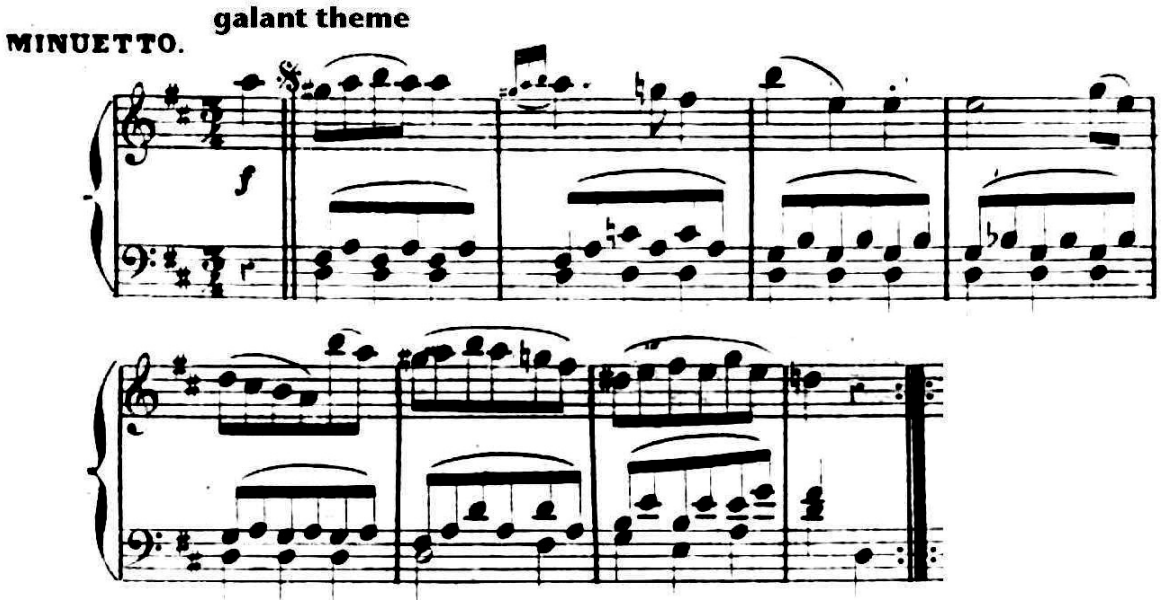


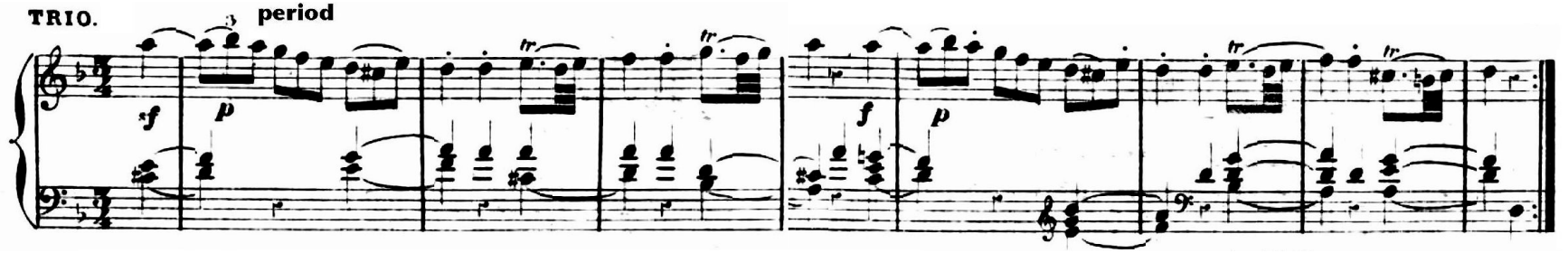

Trio.
21-bar theme
Trio.

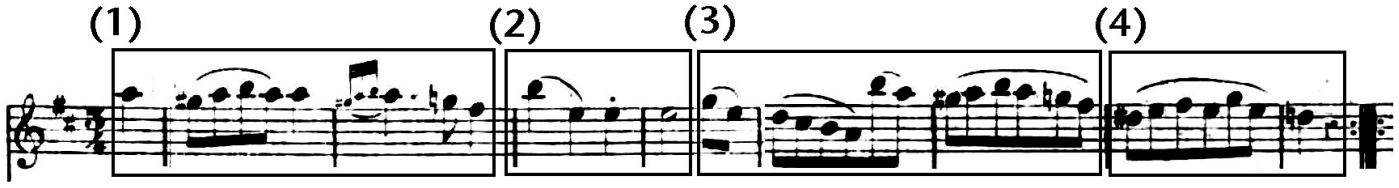
K. 499, String 4t n20 in D (1786)

Differing sharply from others in its chronological cohort, K. 499 has a menuet-trio pair both of whose first strains are elegantly simple: two themes, galant in the first, a period in the other. The melody in the two phrases of the trio differs only "at the last second," in the moment of the cadence: HC in the antecedent, PAC in the consequent.

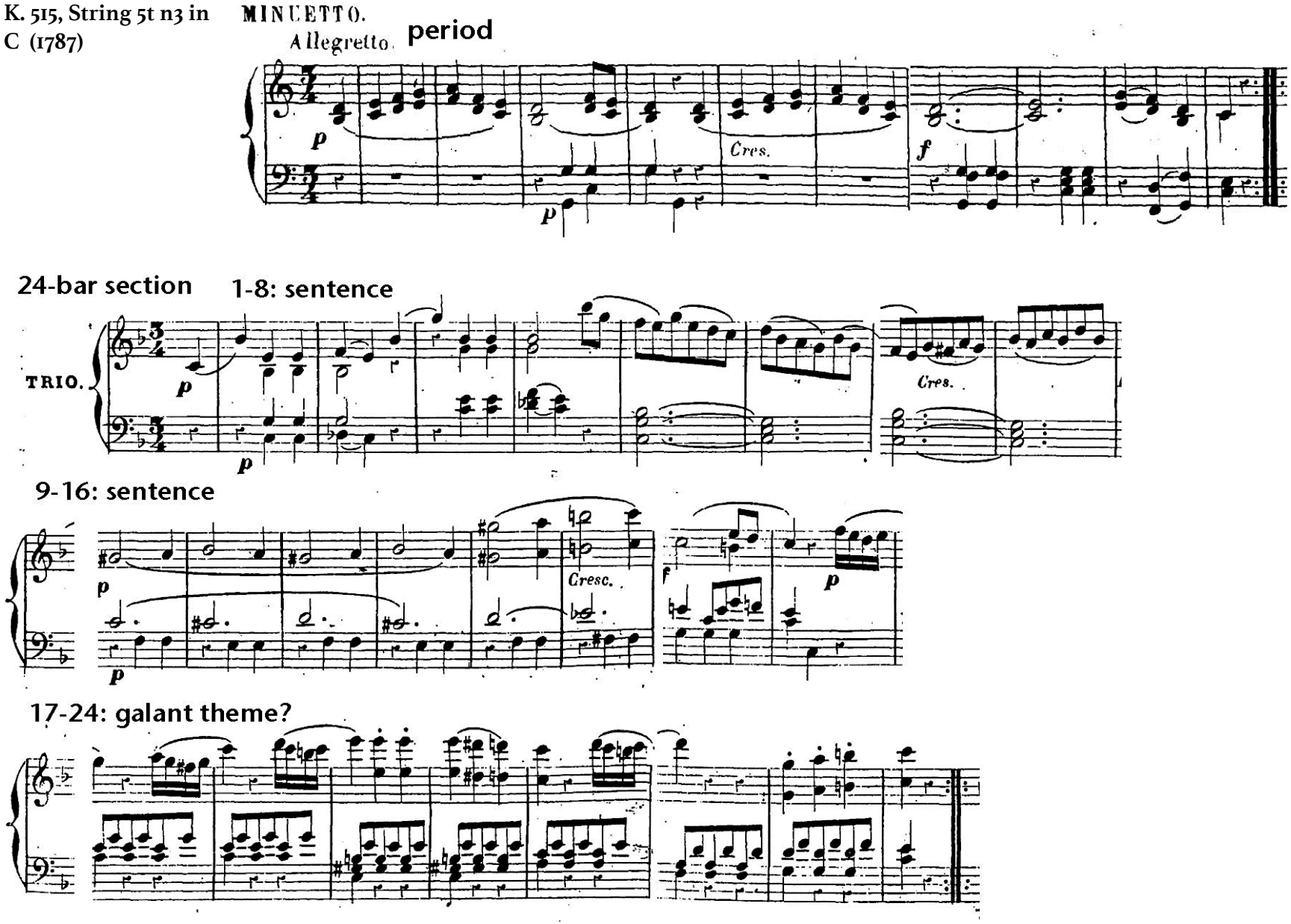
The melody of the menuet itself is another of those "extreme-case" galant themes where every idea is different: see the example at the bottom of this page.



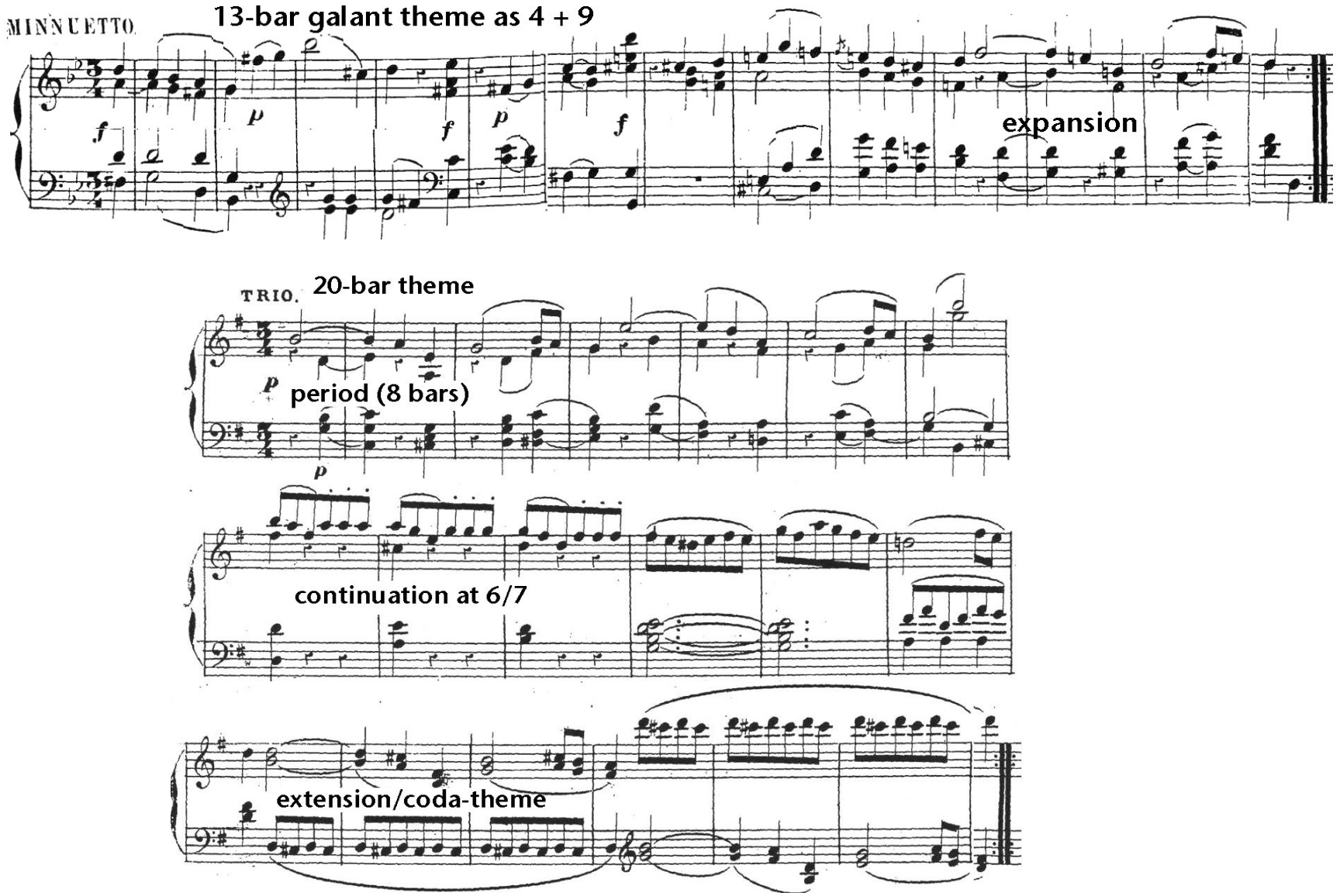




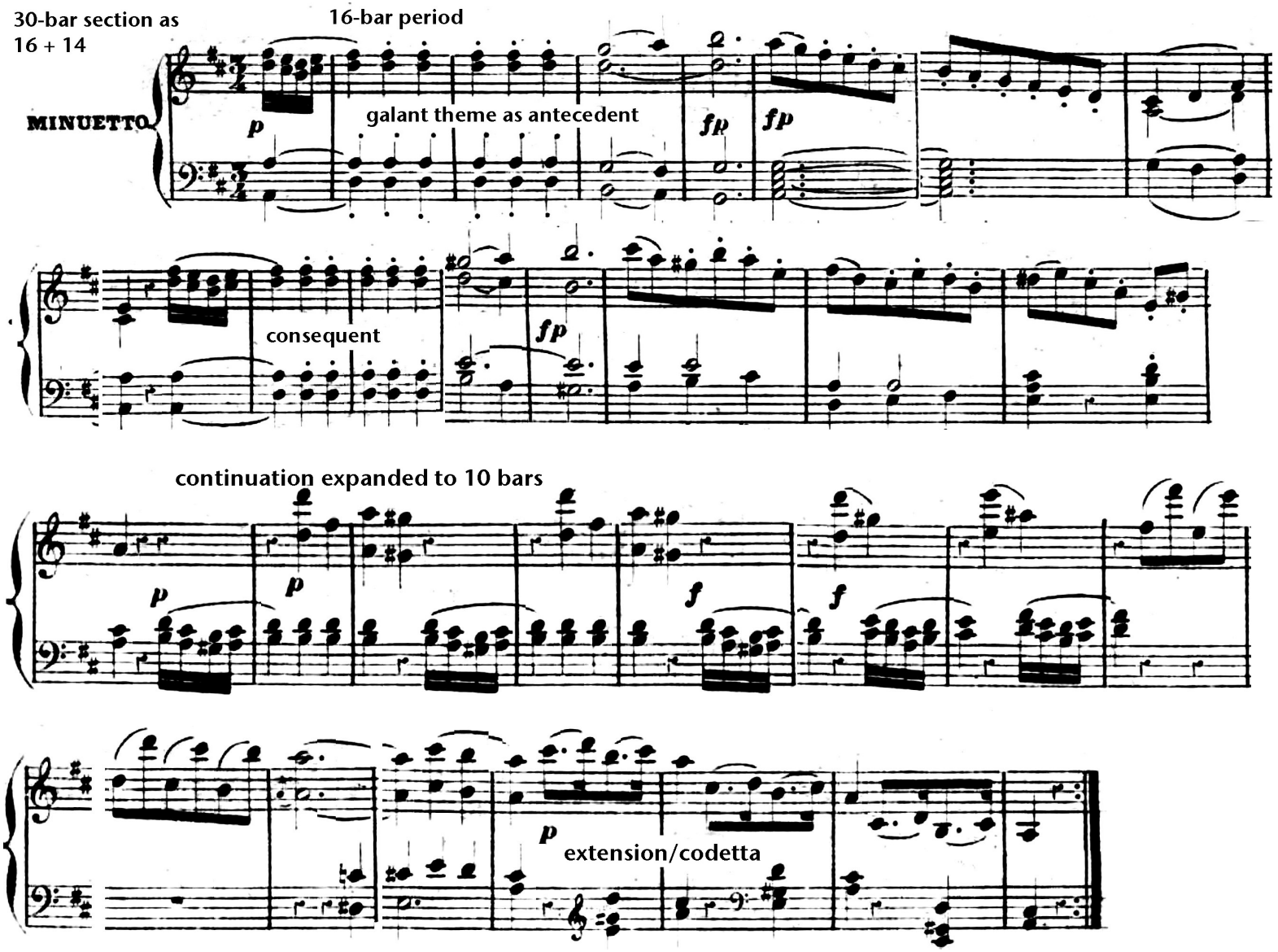
K. 515, String 5t n3 in C (1787)

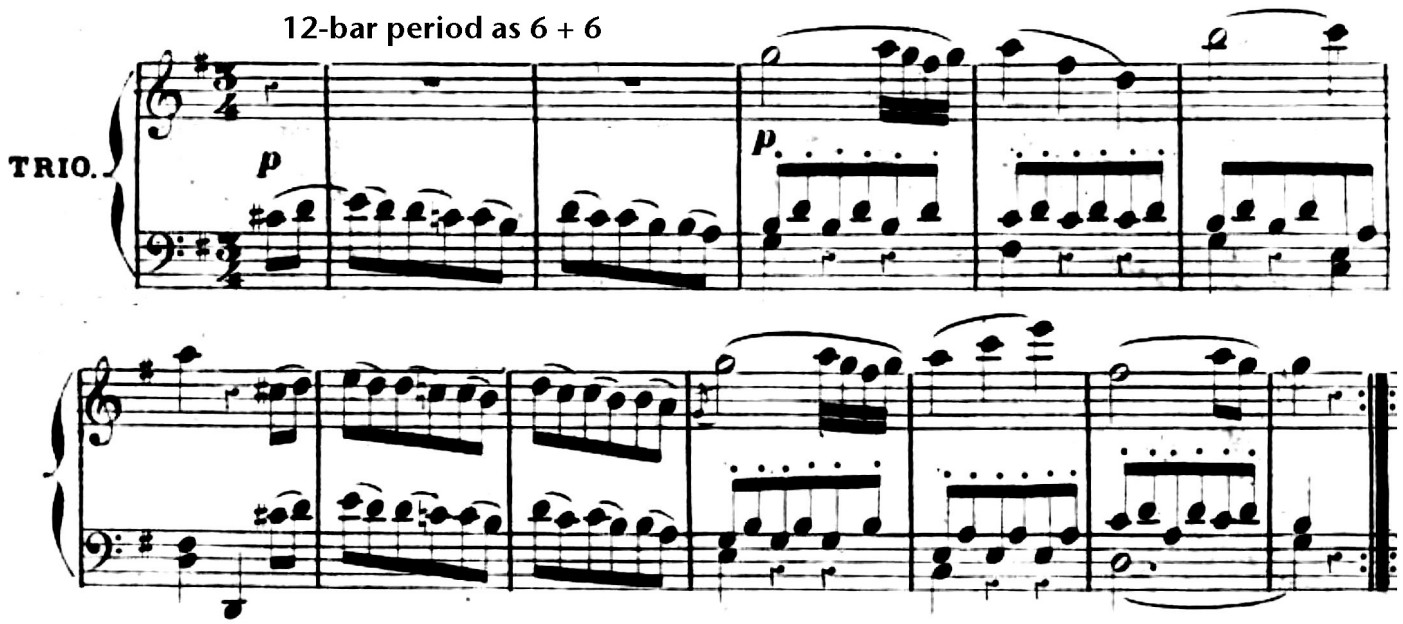


K. 516, String 5t n4 in G minor (1787)

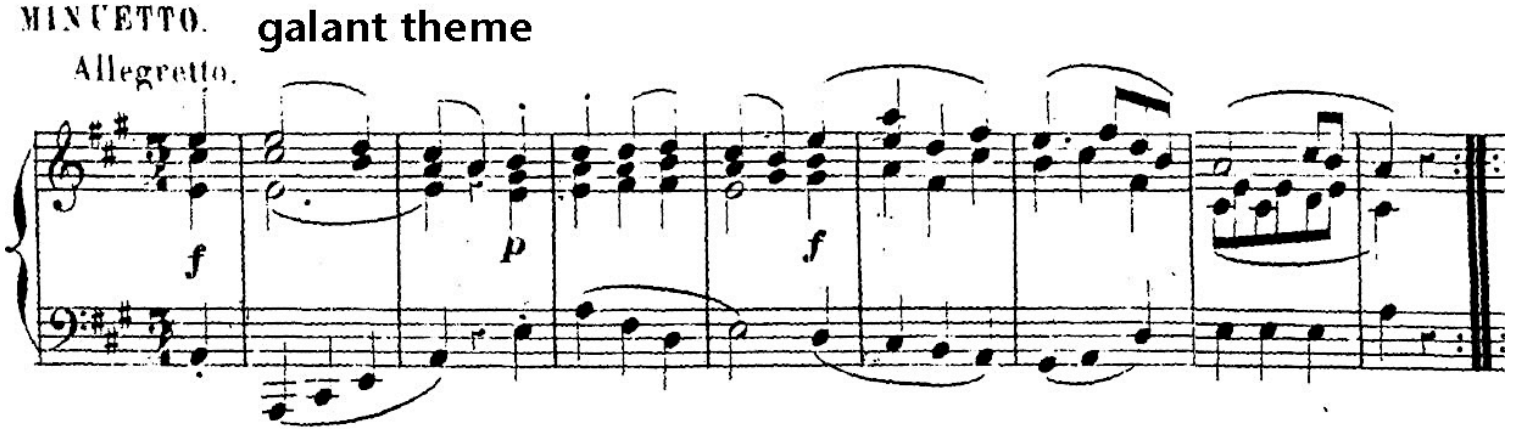


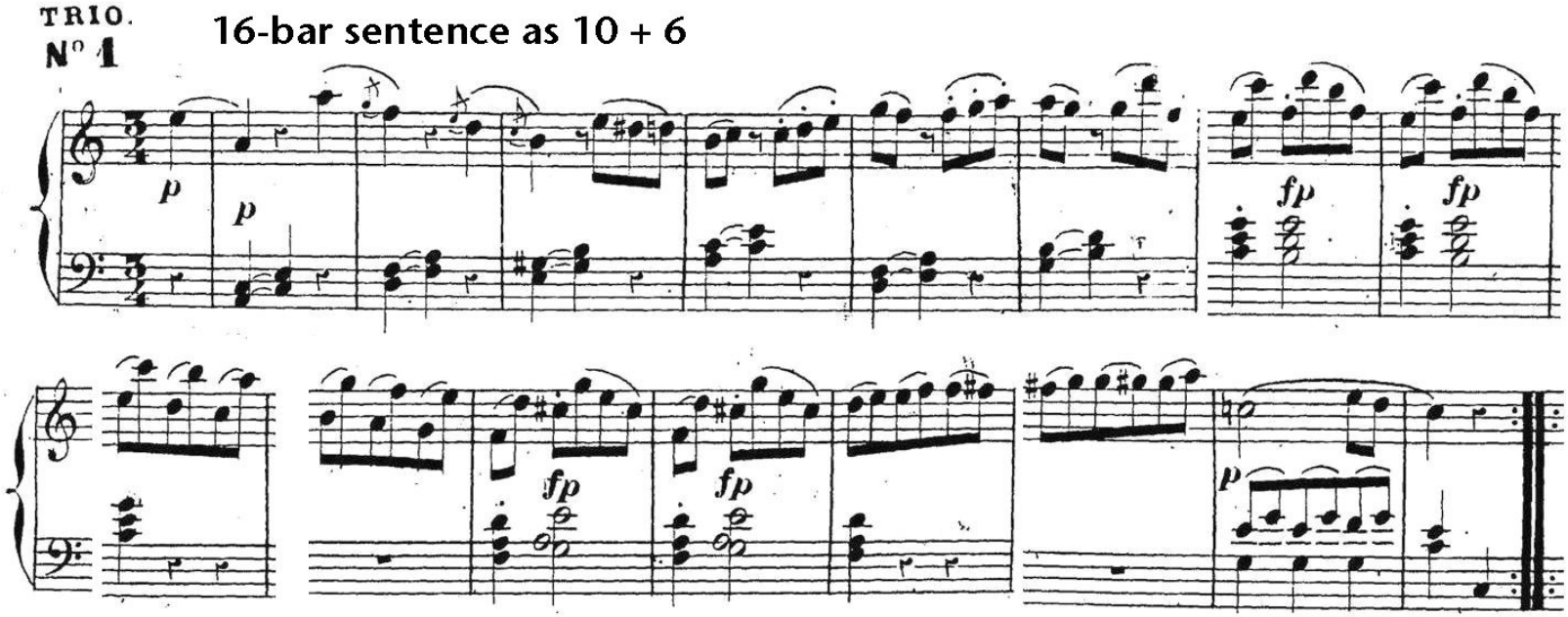
K. 575, String 4t n21 in D (1789)

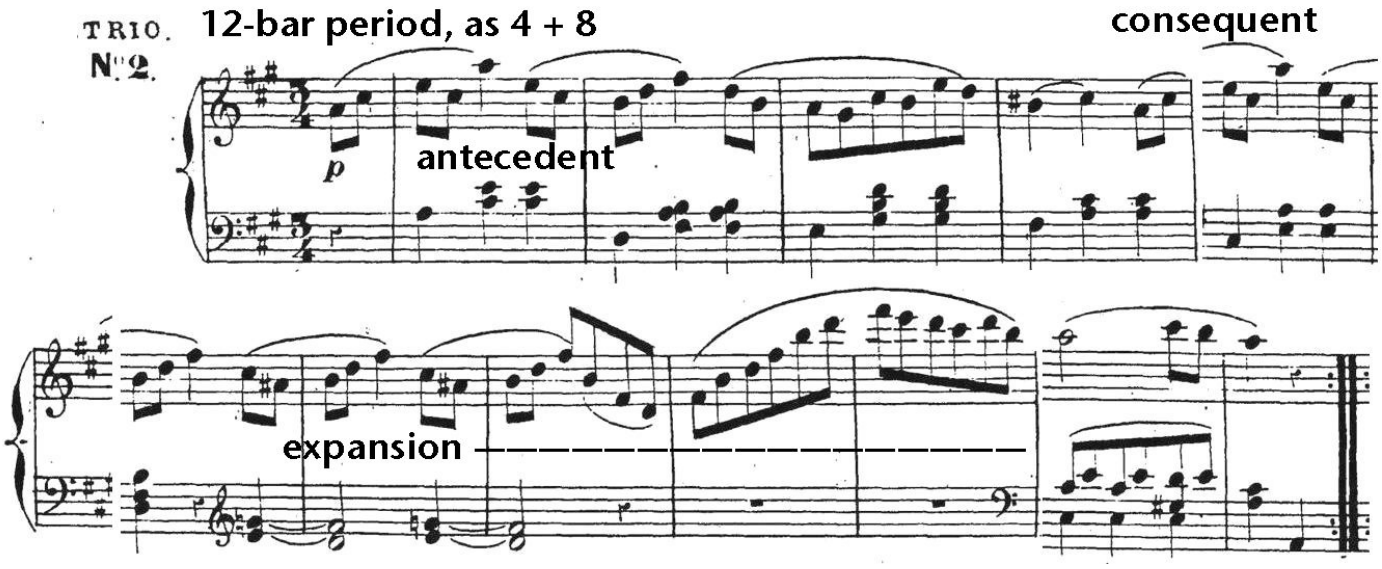




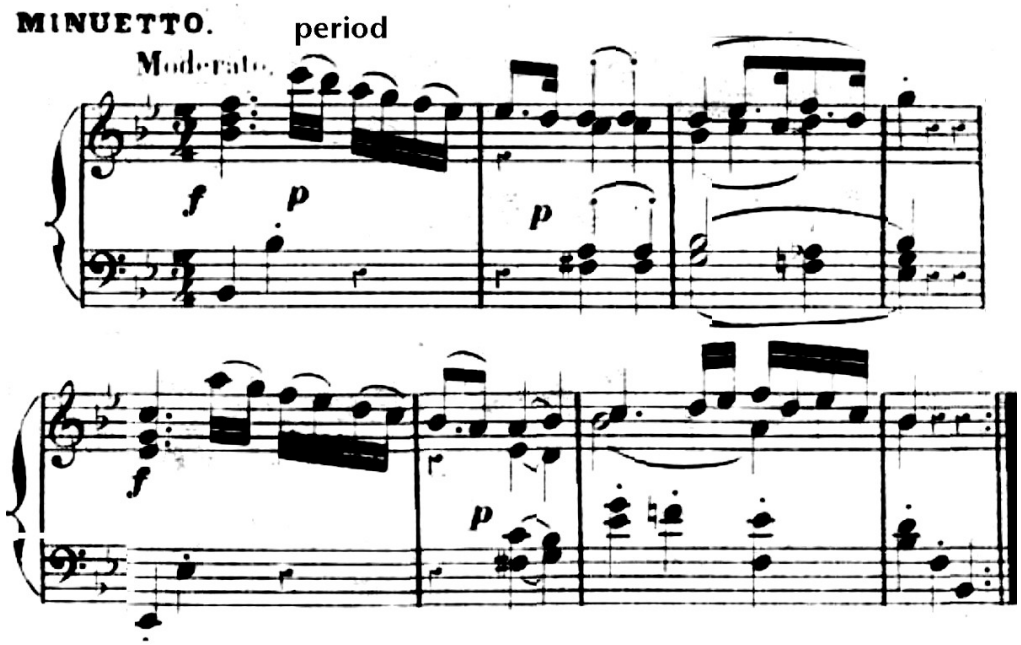
K. 581, Clarinet Quintet




TRIO.
N° 1
16-bar sentence as 10 + 6
p
p
fp
fp
fp
fp
p

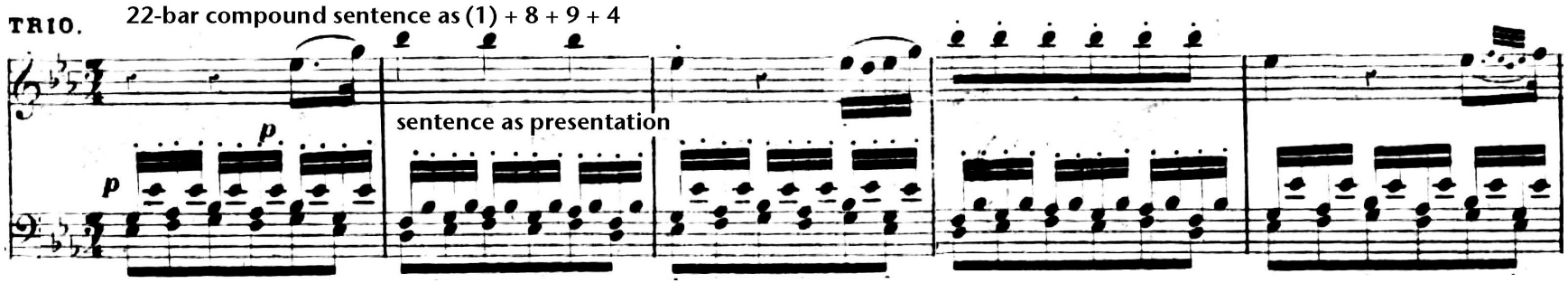

TRIO.
N° 2.
12-bar period, as 4 + 8
consequent
p
antecedent
expansion

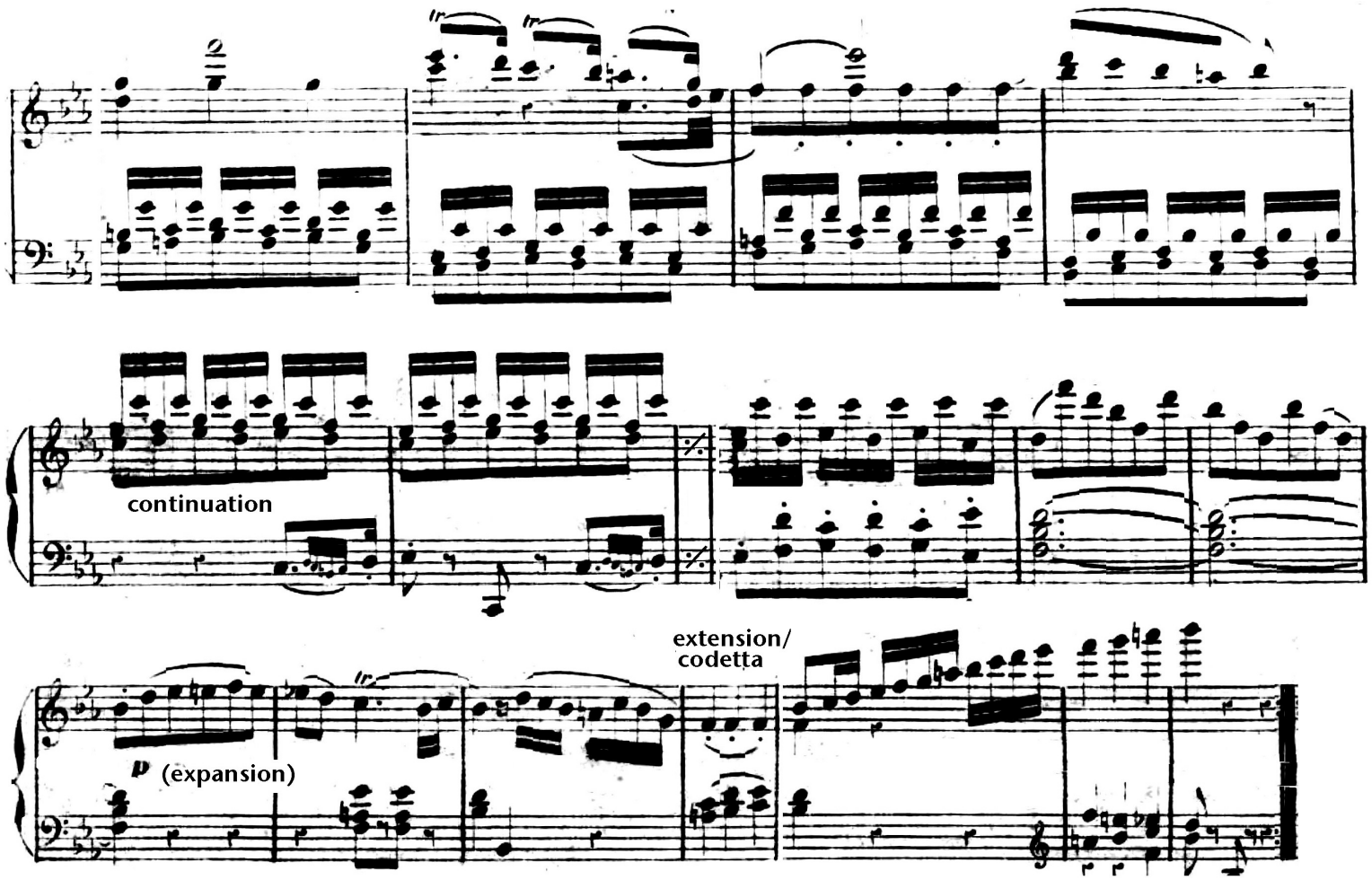
K. 589, String 4t n22 in Bb (1790)



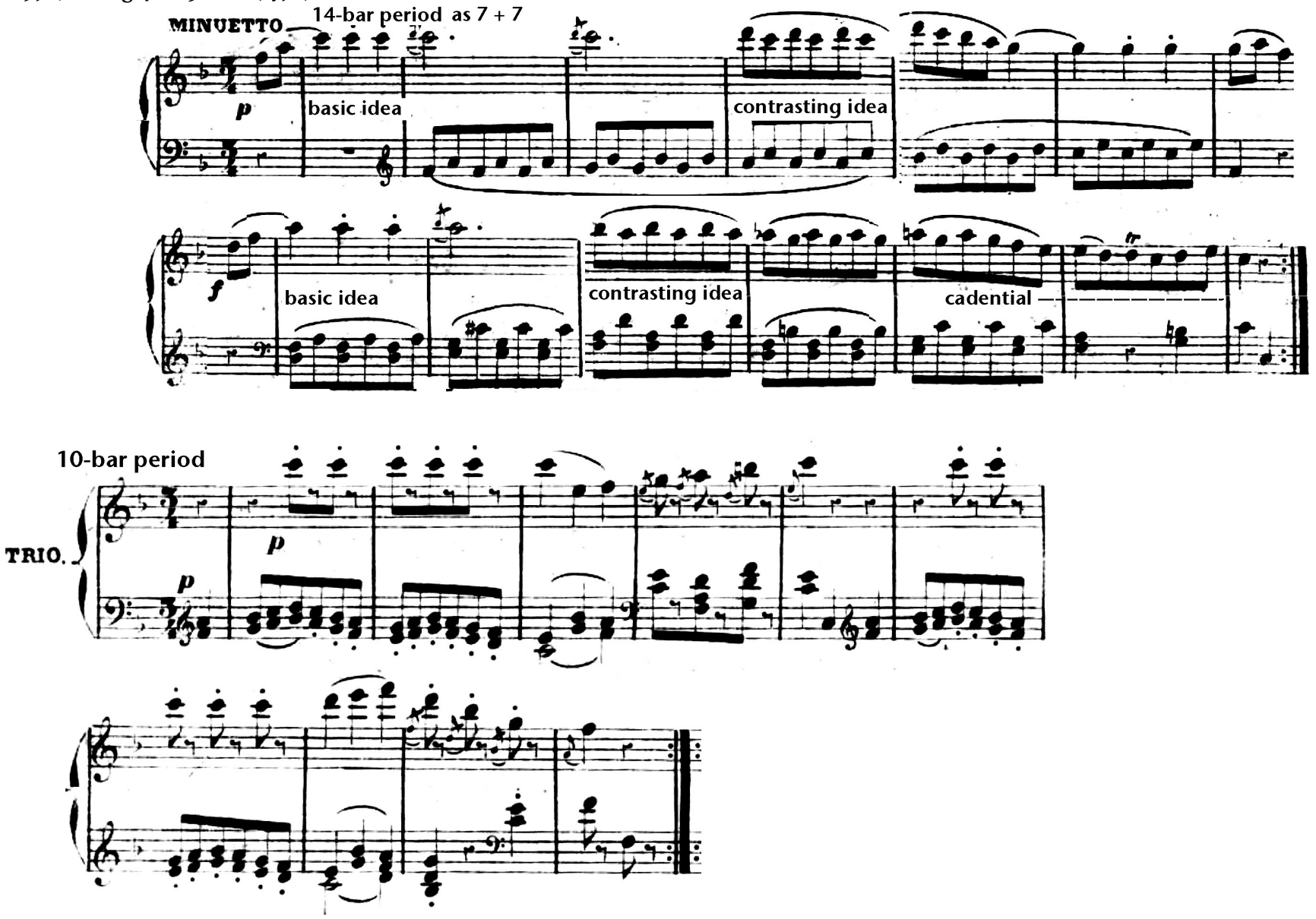
The menuet-trio pair in this quartet upends the usual characterization of a larger-smaller relation between menuet and trio. A better generalization might be that the trio is a site for multiple options, the Ländler-like trios of Haydn and Mozart (the source of "smaller"—see the second trio in K. 581, just above, for an example) not being the only possibility. For another, there is the "Turkish"-minore, the first trio in K. 581 above. And if "larger-smaller" means "longer-shorter," there are plenty of counter-examples: see K. 174, 498, & 515, as well as the present piece. (A noticeably longer, often dramatic "trio" or "altro" is common in the menuet movements of the Stamitzes, Johann and sons Carl and Anton.)

As in the menuet of K. 464, I hear the trio as a compound theme, not a two-part form section. Here the decision is easier, though, as the additional length is generated by "extra" elements—a one-bar vamp at the beginning and a four-bar codetta at the end.

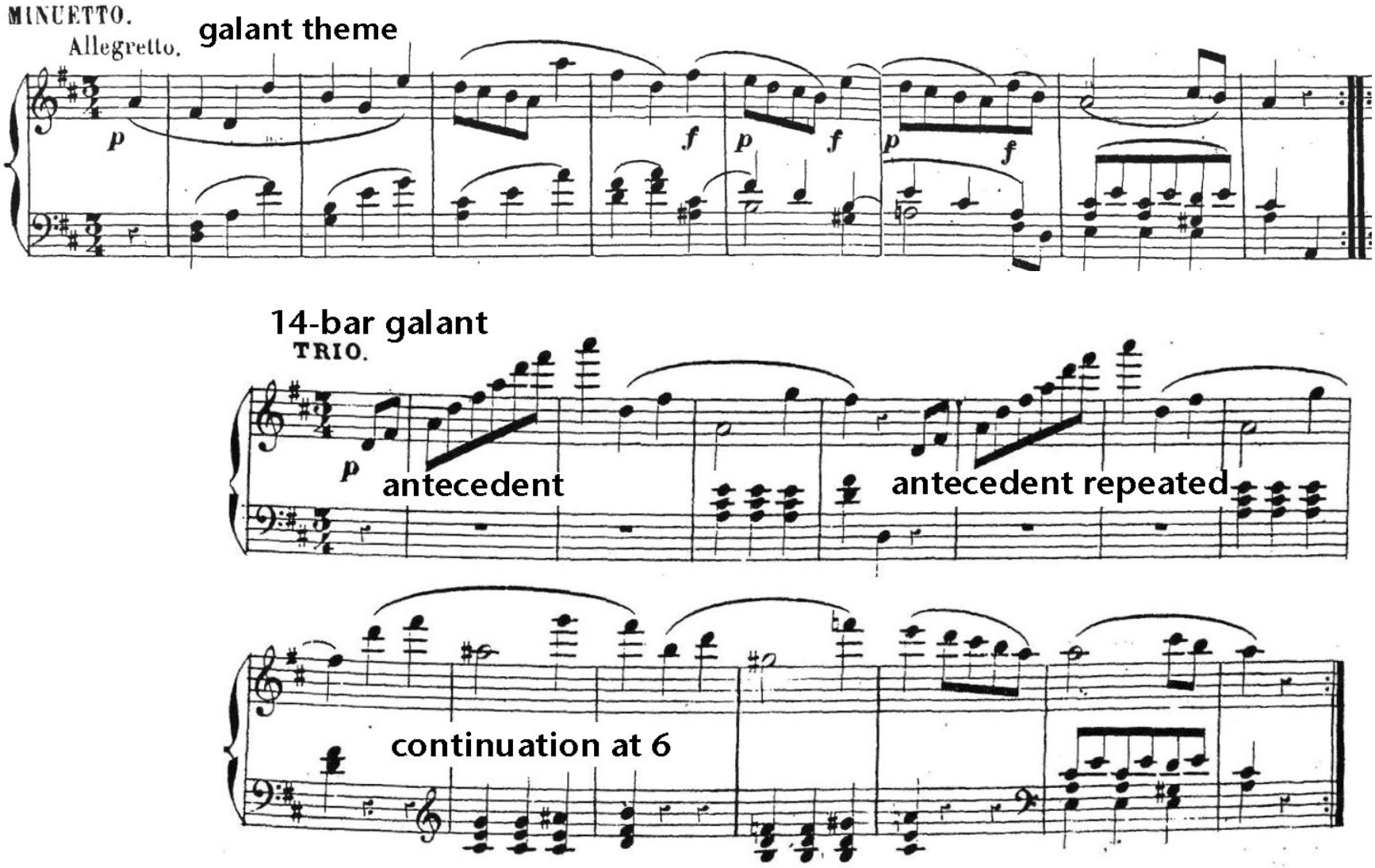
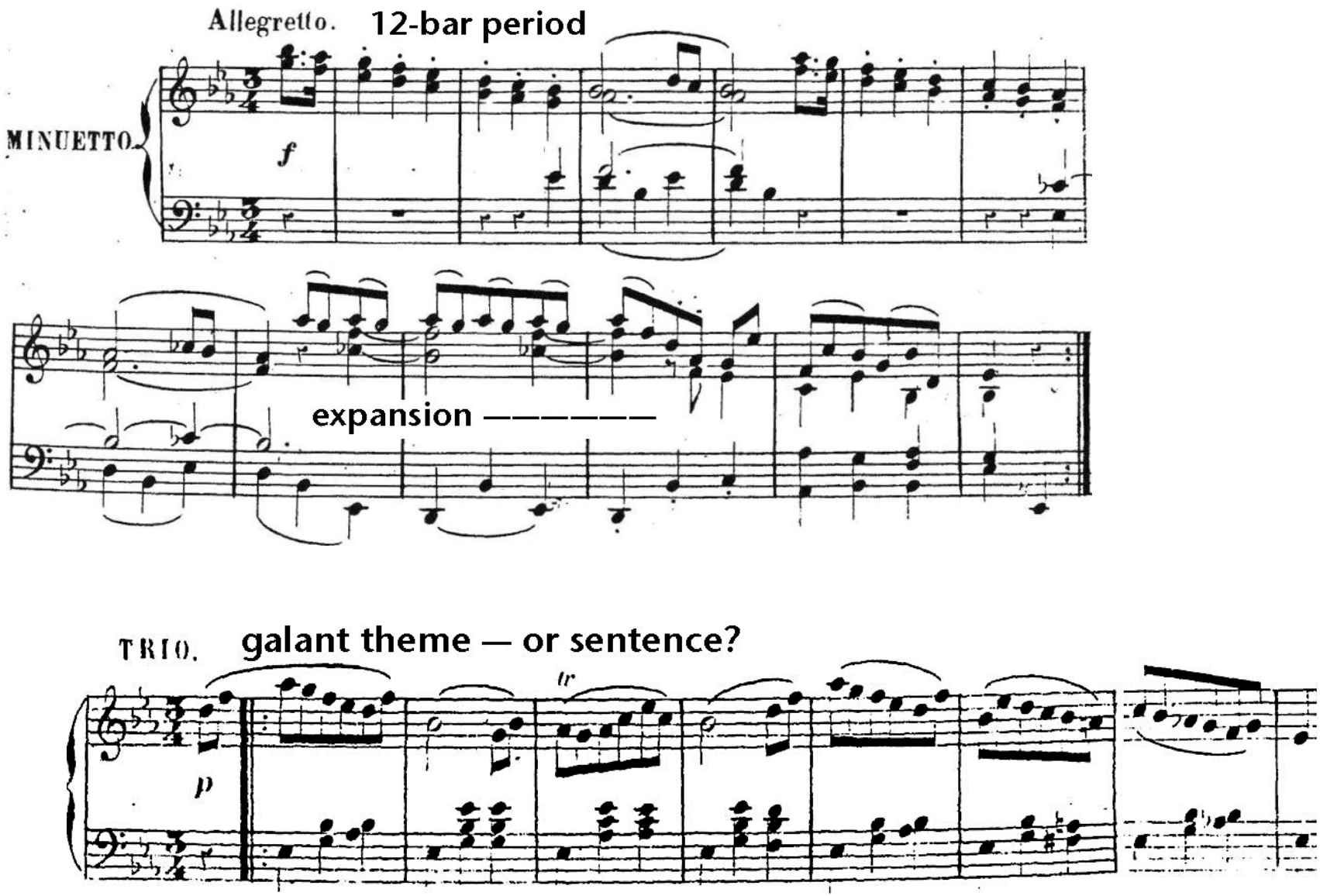



continuation
extension/
codetta
p (expansion)

K. 590, String 4t n23 in F (1790)



K. 593, String 5t n5 in D (1790)



K. 614, String 5t n6 in Eb (1791)